DOCUMENT RESUME

ED 338 756 UD 028 379

AUTHOR Shields, Patrick M.; Anderson, Lee
TITLE Chapter 2 Support for Chapter 1 Program Improvement.
INSTITUTION SRI International, Menlo Park, Calif.
SPONS AGENCY Department of Education, Washington, DC. Office of the Under Secretary.
PUB DATE 91
CONTRACT LC89089001
NOTE 82p.
PUB TYPE Reports - Research/Technical (143)

EDRS PRICE MF01/PC04 Plus Postage.
DESCRIPTORS *Compensatory Education; *Coordination; *Economically Disadvantaged; Educational Change; Elementary Schools; Elementary Secondary Education; *Federal Aid; Federal Legislation; Federal Programs; Low Achievement; Low Income Groups; Poverty; Program Administration; *Program Improvement; School Districts; Secondary Schools; State Departments of Education
IDENTIFIERS Arkansas; Connecticut; *Hawkins Stafford Act 1988; Pennsylvania

ABSTRACT

This study examines cases of overlap between federal Chapter 1 and Chapter 2 programs as reauthorized in the Hawkins-Stafford Elementary and Secondary School Improvements Amendments of 1988. Both chapters emphasize the creation of more effective schools through similar approaches. The study sample includes three states (Connecticut, Arkansas, and Pennsylvania) and 14 local school districts, most of which were using Chapter 2 funds to support Chapter 1 program improvement. The results show that Chapter 2 support for Chapter 1 program improvement in the sample states has positive short-term effects. The following benefits were observed: (1) local schools and districts receive support needed to reform services for low-achieving students; (2) state departments of education are able to support improvement efforts in their state's neediest schools; and (3) coordinated use of federal dollars targeted on improving the educational opportunities of children in poverty meet a central federal goal. However, these efforts are limited. No other states are known to be using funds in this way, and within these three states few districts are involved. Findings suggest that the Federal Government should not require Chapter 2 to support Chapter 1 and perhaps thereby cut off these creative, coordinated uses of federal funds. This document contains five tables and two figures. An appendix describes the study sample and data collection procedures. (JB)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

CHAPTER 2 SUPPORT FOR CHAPTER 1 PROGRAM IMPROVEMENT

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
☑ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

Prepared under contract for the
U.S. Department of Education by:

SRI International
Menlo Park, CA

Contract No. 89089001

U.S. DEPARTMENT OF EDUCATION • OFFICE OF THE UNDER SECRETARY

BEST COPY AVAILABLE

UD 028 380

The conduct of this study and the preparation of this report were sponsored by the U.S. Department of Education, Office of the Under Secretary, under Contract No. LC89089001. Any opinions, findings, conclusions, or recommendations expressed in this publication are those of the authors and do not necessarily reflect the views of the U.S. Department of Education. Nor do the examples included herein imply judgement by the Department or the contractor as to their compliance with federal or other requirements.

CHAPTER 2 SUPPORT FOR CHAPTER 1 PROGRAM IMPROVEMENT

By:

Patrick M. Shields
Lee Anderson

SRI International
Menlo Park, CA

CONTENTS

EXECUTIVE SUMMARY

I INTRODUCTION I-1

Research Perspective I-2
Organization of the Report I-6

II FINDINGS AND POLICY RECOMMENDATIONS II-1

Chapter 1 Program Improvement: Confusion and Hesitation . . . II-1
A Common Response to Uncertainty: "Let's Wait and See" . . II-2
Another Reaction to Uncertainty: Action II-3
The Need for Assistance Before Locals Take Action II-4
Summary of Chapter 1 Program Improvement II-5
Chapter 2 and Effective Schools: A Limited but Important Effort II-6
Locally Initiated Chapter 2 Effective Schools Programs: Non-Existent II-6
The State Story: Retargeting, Rejuvenating, and Relabeling II-7
Retargeting in Connecticut II-7
Rejuvenation in Arkansas II-7
Relabeling of the Old and Initiation of the New in Pennsylvania II-8
Chapter 2 Effective Schools Summary II-9
Chapter 2 Support for Chapter 1 Program Improvement II-9
Connecticut: Bringing Chapter 1 Schools into the Effective Schools Process II-10
Pennsylvania: Assisting Needy Schools to Implement Innovative Program Improvement Plans. II-10
Arkansas: Coexistence of Chapter 1 Program Improvement and Chapter 2 Effective Schools II-11
Summary and Policy Implications II-12

III THE STATE CASES III-1

Pennsylvania III-2
Overview III-2
The Local Picture III-3
The Chapter 1 Program in Pennsylvania III-4
Chapter 1 at the Local Level III-5
Chapter 1 Program Improvement III-6
Chapter 1 Program Improvement at the Local Level III-8
Chapter 2 in Pennsylvania III-10
Chapter 2 at the Local Level III-12
Chapter 2 Support for Chapter 1 Program Improvement in Pennsylvania III-13
Pennsylvania Summary III-15

Connecticut III-17
Overview III-17
The Local Story III-18
Compensatory Education: Chapter 1 and EERA III-20
Chapter 1 Program Improvement III-22
Chapter 2 in Connecticut III-26
Connecticut Effective Schools III-27
Connecticut School Effectiveness and Chapter 1 Program Improvement III-29
Connecticut Summary III-31

Arkansas III-33
Overview III-33
The Local Story III-34
Chapter 1 in Arkansas III-35
Chapter 1 at the Local Level III-36
Chapter 1 Program Improvement III-37
Chapter 2 in Arkansas III-40
Chapter 2 Effective Schools III-41
Chapter 2 Coexistence with Chapter 1 Program Improvement . . . III-44
Arkansas Summary III-45

APPENDIX A: METHOD A-1
Study Sample A-1
Data Collection Method A-3
Data Collection Topics A-3
Topics Related to State and Local Context A-3
Topics Related to the Chapter 1 Program A-3
Topics Related to the Chapter 2 Program A-4
Topics Related to the Link Between Chapter 1 and Chapter 2 . . . . . A-4
Interviews A-5
At the State Level A-5
At the Local Level A-5
Record Review A-6

REFERENCES R-1

LIST OF TABLES

Table I-1	A Comparison of Basic Education Statistics in Three Sample States	I-5
Table III-1	Description of Pennsylvania Local Education Agency Sample	III-3
Table III-2	Chapter 2 Support for Chapter 1 Program Improvement in Three Pennsylvania LEAs	III-14
Table III-3	Description of Connecticut LEA Sample	III-19
Table III-4	Description of Arkansas LEA Sample	III-34

LIST OF FIGURES

Figure I-1	The Overlap Between Chapter 1 Program Improvement and Chapter 2	I-3
Figure A-1	Sampling Plan	A-2

EXECUTIVE SUMMARY

Both the federal Chapter 1 and Chapter 2 programs, as reauthorized in the Hawkins-Stafford Elementary and Secondary School Improvement Amendments of 1988 (P.L. 100-297), emphasize the creation of more effective schools. The Chapter 1 program calls for an annual review of student performance and requires that schools with unsatisfactory results plan and implement a program improvement strategy. Among the targets of the new Chapter 2 program are activities for at-risk children, schoolwide improvement, and effective schools programs.

The common improvement goal of these two programs creates the potential for the coordinated use of federal dollars. In fact, by the middle of the 1989-90 school year--the first full year of P.L. 100-297's implementation--anecdotal evidence had arisen that some states and localities were using Chapter 2 funds to support Chapter 1 program improvement efforts.

The purpose of this study was to examine cases of such overlap between the Chapter 1 and Chapter 2 programs. The study sample included 3 states (Connecticut, Arkansas, and Pennsylvania) and 14 school districts, most of which are using Chapter 2 funds to support Chapter 1 program improvement.

We found that Chapter 2 support for Chapter 1 program improvement in the sample states has had positive short-term effects. In Connecticut, Chapter 2 funds allowed the state to reach a set of low-income, low-achieving schools with the state's effective schools program. Moreover, it helped a small set of schools targeted for program improvement proceed through a structured and well-tested process of evaluation, planning, and action. In Pennsylvania, the state education agency (SEA) was able to support a group of program improvement schools that had worked hard to

devise Chapter 1 reform strategies but lacked the resources necessary to carry out those plans. In Arkansas, the coexistence of Chapter 2-supported effective schools programs and Chapter 1 program improvement in the same schools created the potential for integrated and coordinated reform efforts, which did take place in some schools.

Everyone has benefited in these cases. Struggling local schools and districts received support needed to reform services for low-achieving students. The state departments of education were able to support improvement efforts in their state's neediest schools. The coordinated use of federal dollars targeted on improving the educational opportunities of children in poverty met a central federal goal.

At the same time, these efforts were extremely limited. We know of no other states in which Chapter 2 supports Chapter 1 program improvement. Even in our three sample states, few schools and districts are involved (e.g., in Connecticut only 7 of 668 Chapter 1 schools participate in Chapter 2 Schoolwide Program Improvement). Clearly, these schools are not the only ones in need of financial and technical assistance to improve services for low-achieving youngsters.

Our findings suggest that because Chapter 2 is a relatively small program and because of the importance of its flexibility to state and local educators, it would make little sense for the federal government to require Chapter 2 to support Chapter 1. Rather, the cases presented in this study should be used as examples of innovative ways to use Chapter 2 funds and innovative approaches to Chapter 1 program improvement. In disseminating information on these cases, the federal government may help to dispel a common misconception among many educators that compliance with the federal regulation precludes coordinated use of federal funds and creative approaches to serving disadvantaged students.

I INTRODUCTION

The Hawkins-Stafford Elementary and Secondary School Improvement Amendments of 1988 (P.L. 100-297) reaffirms the federal government's commitment to improving the education of children most at risk of school failure. Both the Chapter 1 and Chapter 2 programs, the cornerstones of the legislation, place a major new emphasis on creating more effective schools. The Chapter 1 program calls for an annual review of student performance and requires that schools with unsatisfactory results plan and implement a program improvement strategy. Among the targets of the new Chapter 2 program are activities for at-risk children, schoolwide improvement, and effective schools programs. In fact, the new legislation stipulates that at least 20 percent of each state's Chapter 2 set-aside be earmarked for effective schools activities.

By the middle of the 1989-90 school year--the first full year of the program's implementation--anecdotal evidence had arisen that some states and localities were using Chapter 2 funds to support Chapter 1 program improvement efforts. Given the U.S. Department of Education's interest in promoting the coordinated use of federal funds, the Department commissioned SRI International to examine instances of overlap between the Chapter 1 and Chapter 2 programs.

There are many possible reasons for the overlap between the two programs. In some cases, states and districts need extra resources to implement Chapter 1 program improvement plans, and Chapter 2 provides one source of those funds. In other cases, administrators recognize the similarity of intent in the two programs and decide to use them for the same purpose. In other situations, an overall state or local thrust toward integrated services has been the impetus behind the use of Chapter 2 funds for the Chapter 1 program.

There are, of course, other reasons why state and local administrators would not seek to use Chapter 2 funds to support Chapter 1 program improvement. In many states and districts, the two programs have traditionally been administered by different offices and staff. The Chapter 2 program has built its own constituency and has supported its own set of educational priorities. Using Chapter 2 funds for Chapter 1 program improvement could necessitate taking funds away from other programs. Moreover, it is not clear to all local and state staff that coordinating funds from the two federal programs is even legal.

Whatever its rationale, the coordinated use of federal resources is consistent with broader federal efforts to focus resources on at-risk children and to integrate service delivery whenever feasible. The purpose of this study is to examine cases in which there has been some overlap between the Chapter 1 and Chapter 2 programs. We examine the contexts and circumstances that led to these coordinated efforts, the implementation process, and the possible effects, both short-term and long-term. We also look at the barriers to coordination between and among programs. In doing so, our goal is to provide advice to other state and local agencies struggling with the difficulties of improving and coordinating services to educationally disadvantaged students.

Research Perspective

Our framework for understanding the overlap between Chapter 2 and Chapter 1 program improvement is shown in Figure I-1. The figure underscores three major points:

- First, the Chapter 1 program is significantly larger than the Chapter 2 program: the average school district receives approximately 10 times more funds from Chapter 1 than from Chapter 2.
- Second, whatever overlap exists between the two programs will constitute a small portion of the overall programmatic efforts. Chapter 1 program improvement affects a small percentage of Chapter 1 schools (6 to 13 percent in our sample states). Chapter 2 dollars are typically spread among many improvement efforts.
- Third, it is important to understand the programs themselves--their philosophy, their use of funds, and the ways they deliver services in each state and local district in the study--before attempting to comprehend their overlap.

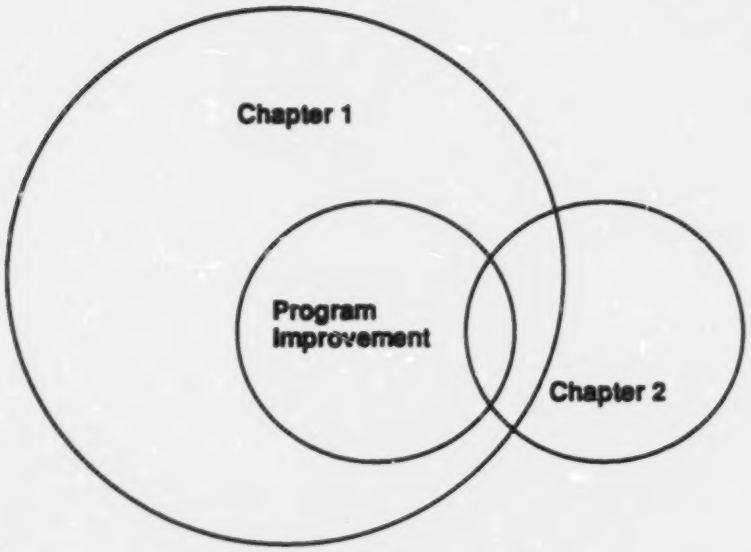


FIGURE I-1 THE OVERLAP BETWEEN CHAPTER 1 PROGRAM IMPROVEMENT AND CHAPTER 2

Together, these factors suggest four overarching research questions:

(1) How have state and local education agencies altered their methods of providing supplementary educational services to educationally disadvantaged students under the federal Chapter 1 program as a result of the new program improvement requirements?

(2) How have state and local agencies implemented effective schools programs as a result of new requirements in the Chapter 2 legislation?

(3) To what extent has the similar effective schools focus in both Chapter 1 and Chapter 2 programs resulted in the integration of the two federal programs at either the state or local level?

(4) What factors account for these patterns of state and local response?

These questions guided the design of the study, the choice of data collection methods, and the sample selection. We chose a case study approach to enable us to gather rich and systematic descriptive data on state and district responses to the new legislative requirements.

Following the objectives implied by our research questions, we devised interview protocols to capture information on topics related to the Chapter 1 program, the Chapter 2 program, the links between them, and the overall context for education. These instruments were tailored to numerous state, district, and school respondents. We also collected and reviewed copies of documents and other records relevant to these topics. The study method is described in detail in Appendix A.

The study sample included 3 states (Pennsylvania, Connecticut, and Arkansas) and 14 school districts within these states. In Table I-1, we provide some basic education statistics for the three states. These data allow the reader to compare the three states along a variety of dimensions before reading the analysis and the individual case studies in Section III. For example, the table shows that Connecticut spends nearly twice as much as Arkansas on each pupil's education. Yet when we look at educational expenditures as a percentage of per capita income, the two states are nearly evenly matched, reflecting the higher cost of living and wealth of Connecticut. Note also that Pennsylvania is by far the largest of the states, with nearly three times the number of schools as the other states and significantly larger Chapter 1 and Chapter 2 allocations. Pennsylvania also has the largest number of Chapter 1 program improvement schools, but much fewer than Arkansas as a percentage of all Chapter 1 schools. Finally, the reader should note that the amount of Chapter 2 funds spent on effective schools programs is somewhat misleading: Connecticut is waived from having to spend any Chapter 2 funds on this program because it already spends over $500,000 of its own state funds on an effective schools program.

Table I-1

A COMPARISON OF BASIC EDUCATION STATISTICS IN THREE SAMPLE STATES

General statistics	Pennsylvania	Connecticut	Arkansas
Per pupil expenditures [a]	$4,616	$5,435	$2,733
Per pupil expenditures as a percentage of per capita income [b]	30.4	25.6	23.7
Teacher/student ratio [c]	16.2	13.3	17.1
Total number of public schools [d]	3,313	970	1,112
Chapter 1			
State allocation [e]	$212,973,000	$47,679,000	$52,035,000
Total Chapter 1 schools [f]	2,345	668	838
Number of Program Improvement schools [f]	146	44	110
Program Improvement schools as a percentage of all Chapter 1 schools	6	7	13
Chapter 2			
State allocation [g]	$21,111,000	$5,577,000	$4,752,000
State set-aside [h]	$3,500,000	$1,100,000	$900,000
State Chapter 2 expenditures on effective schools programs [h]	$1,500,000	$60,000[i]	$184,197

---

a National Center for Education Statistics (1989), p.157, Table 146. Data are for the 1986-87 school year.

b Per capita income from Advisory Commission on Intergovernmental Relations (1989), Vol. II, pp. 8-9, Table 5. Per capita income figures are from 1987.

c NCES, p. 71, Table 58. Data are for Fall 1987.

d NCES, p. 100, Table 86, Column 2. Data are for the 1987-88 school year.

e These figures refer to the 1988-89 school year and were reported by the federal programs office in each sample state.

f These figures refer to the 1989-90 school year and were reported by the federal programs office in each sample state.

g NCES, p. 346, Table 309. These appropriations are for fiscal year 1988.

h These figures refer to the 1989-90 school year and were reported by the federal programs office in each sample state.

i Does not include $528,000 in state expenditures on effective schools programs.

Organization of the Report

In the following section of the report, we analyze the findings across the 3 states and 14 districts, describing overall patterns of federal program coordination, pointing to the reasons underlying those patterns, and outlining specific policy recommendations for state and local educators. In the report's third section, we provide detailed case studies of each of the three states and their local districts. We provide a description of the study method in Appendix A.

II FINDINGS AND POLICY RECOMMENDATIONS

In this section of the report, we review our overall findings across the sample states and districts. Following the research questions, we first discuss Chapter 1 program improvement in the 3 sample states and 14 sample districts. We then review our findings on the Chapter 2 program. Third, we examine instances in which Chapter 2 funds are used to support Chapter 1 reform efforts. Finally, we draw some overall conclusions and make a few policy recommendations.

Chapter 1 Program Improvement: Confusion and Hesitation

The requirement in P.L. 100-297 that local districts and state agencies identify unsuccessful Chapter 1 schools and develop concrete improvement plans led to a significant amount of confusion and hesitation across the three sample states. Although state personnel understood the federal law and regulations, they were unsure of how stringent their program improvement plans should be and how hard they should push local educators to alter basic program structures and routines. For their part, most local educators in our sample sites simply did not have sufficient information by the end of the 1988-89 school year or the beginning of the 1989-90 school year to feel comfortable with the program improvement process. Administrators at all levels questioned whether the federal regulations might not change quickly, diluting the program improvement requirements. In this atmosphere, most educators were uncertain what steps to take beyond those explicitly required by the law.

At the same time, a number of educators involved in the Chapter 1 program reacted negatively to the program improvement requirements. At the local level, staff in schools targeted for program improvement often felt stigmatized. From one perspective, program improvement had attached a label

of failure to their efforts. As one teacher put it, *"We felt as though we had received a failing grade and we didn't think we deserved it--there were many reasons the students performed poorly that had nothing to do with Chapter 1 services."* Moreover, staff feared that the list of "failures" would be published throughout the state. As a result, in two of the three states, state department of education staff were not confident that local districts had reported all the schools that should have been targeted for program improvement.

At the state level, the federal program improvement requirement also created the potential for problems. In all three of the sample states, education department staff have worked hard to nurture positive and supportive relationships with local education agencies. State staff want local educators to view the state as a helpful resource. The program improvement requirements, some state staff feared, had the potential to turn the state into a policeman, patrolling local districts for violators and punishing them through sanctions or negative publicity.

A Common Response to Uncertainty: "Let's Wait and See"

In response to this uncertainty and negativity, some state and local educators chose to wait out the first planning year (1988-89) and watch subsequent developments before planning major changes. In local districts, the majority of Chapter 1 resources support teachers and instructional assistants. Administrators were wary of shifting responsibilities or changing staff in an atmosphere of uncertainty. In some instances, administrators believed that their programs were not in need of improvement, that low test scores had represented a statistical fluke (e.g., the poor performance of one student in a small school pulled down the average). Confident that scores would rise during the next testing cycle and remove them from the program improvement list, these administrators refrained from doing anything. In other instances, district and school staff were simply unwilling to talk about major changes without more concrete information and guidance from the state.

From the state's perspective, some administrators also saw benefits in holding off on significant action. Staff wanted to take a cautious approach to helping local educators with program improvement, not wanting to jeopardize their relationships with locals by being overly aggressive in their enforcement of the Chapter 1 regulations.

Arkansas offers a good example of this cautious approach. The SEA has spent the past decade building strong relationships with local districts and assisting them in school improvement efforts. Currently, the state is supporting a broad restructuring initiative and an effective schools program, and working with local districts to increase the number of Chapter 1 schoolwide projects. Within this context, the state chose a moderate path in the area of program improvement. In general, state staff allowed local districts to develop their own plans during the 1989-90 school year and did not push schools to implement those plans immediately. In fact, the state did not even expend any of its Chapter 1 program improvement funds during the 1989-90 school year. State administrators plan to assume a much more active role in the 1990-91 school year, especially with the subset of schools targeted for program improvement for the second time.

Another Reaction to Uncertainty: Action

In documenting cases of uncertainty and cautiousness, we do not mean to imply that state and local education agencies did not comply with the law. In all three states, Committees of Practitioners were formed, schools were identified, plans were developed at both the state and local levels, and in some cases, improvement efforts were begun during the 1989-90 school year.

Moreover, a limited number of states and districts took proactive steps to implement the program improvement requirements. Most notably, the Pennsylvania State Department of Education moved rapidly to develop a statewide program improvement plan that phased in stringent performance standards and called for districts to develop their own strict criteria for Chapter 1 schools' achievement (see Pennsylvania case study in Section III). Less formally, the state encouraged local districts to take program

improvement seriously and to see it as an opportunity--as opposed to a chore--to make necessary and constructive changes in their method of delivering Chapter 1 services. The state department then followed up their advice with on-site technical assistance and some financial aid.

A small set of districts and schools also immediately seized the Chapter 1 program improvement requirements to make basic changes to their programs. One district in Pennsylvania and a school in Connecticut actually sought the program improvement label to help justify previously planned improvement activities and to garner extra resources to implement those efforts. An Arkansas district took advantage of program improvement to include compensatory education in a broader reform of the curriculum.

The Need for Assistance Before Locals Take Action

More typically, however, local educators required significant assistance and encouragement before taking active steps. In all three states, we visited districts and schools that, with sufficient outside assistance, were able to overcome an initial period of uncertainty and forge meaningful plans for improving their Chapter 1 programs.

For example, in one district in Pennsylvania, Chapter 1 staff initially reacted negatively to having both the district's elementary schools targeted for program improvement. Moreover, staff were uncertain about how to proceed with a program improvement plan. Fortunately, a fair amount of state technical assistance, including personal visits from state staff, helped the district put together a plan that met local needs and held promise for improving the achievement of Chapter 1 students. In this case, the plan called for a closer alignment of the Chapter 1 program with the regular program. In particular, Chapter 1 teachers are now to attend inservice training along with regular teachers, and curricular materials in the Chapter 1 program are to match or supplement the regular program materials directly.

Summary of Chapter 1 Program Improvement

The Chapter 1 program improvement requirements marked a radical change in federal compensatory education policy. Although many state and local educators applauded the accountability mechanism in the legislation, they were also unsure of how to implement it in its first few years. Local staff were wary of making fundamental changes in the way they had always done business. State staff were uncertain about how to encourage, assist, or require local districts to develop and implement improvement strategies.

Within this context, change was generally slow to occur. Certainly, all the states and districts complied with the law. Yet the purpose of the legislation is not simply to ensure compliance with regulations. The law is meant to encourage districts and schools, with state assistance, to examine their struggling Chapter 1 programs critically and to devise effective strategies to improve those programs.

The degree to which local educators were able to meet the intent of the legislation depended on the amount and type of assistance they received. Local Chapter 1 staff needed help in knowing exactly what steps to take to meet the letter of the law; they needed encouragement to go beyond the regulations and to examine their efforts critically; they needed technical assistance to devise new strategies for providing compensatory education services; and they needed help in forging new alliances with regular program staff to put their new strategies in place.

Typically, then, locals needed state assistance--the most ambitious program improvement plans we witnessed were in sites that received significant help from their SEAs. Local Chapter 1 personnel also needed help from the regular education staff in their schools and districts. The most prevalent program improvement strategies in our sample sites involved increased coordination between Chapter 1 and the regular program, often involving an increase in in-class services and more curricular articulation. These strategies seemed to have a greater potential for success in sites in which the regular program staff was involved in their development and held a stake in the process.

Chapter 2 and Effective Schools: A Limited but Important Effort

The Chapter 2 legislation encourages state and local education agencies to spend funds on school improvement efforts. The legislation explicitly allows locals to support effective schools programs and requires that state education agencies expend 20 percent of their set-aside on effective schools efforts. In our examination of the Chapter 2 program in the sample states and districts, we paid closest attention to Chapter 2-supported effective schools activities, those most similar to the program improvement portion of the Chapter 1 program.

Locally Initiated Chapter 2 Effective Schools Programs: Nonexistent

At the local level, we did not find a single instance in the three sample states of a district or school using local Chapter 2 funds to support effective schools activities. Although effective schools programs are allowable under the law, local administrators simply chose to target Chapter 2 dollars on other priorities.

A number of reasons arose to explain the lack of locally initiated effective schools programs. First, Chapter 2 funds traditionally have supported certain activities in local districts--typically material purchases (computers and library books) and staff development--and administrators are always wary of shifting resources away from established programs. Second, Chapter 2 allocations are generally quite small for most districts (approximately one-tenth of the Chapter 1 program allocation). Third, the legislation requires that for a Chapter 2-funded effort to be labeled "effective schools," it must meet a series of criteria (focus on leadership, staff development, school climate, etc.). The long list of criteria discourages local educators who might want to begin effective schools efforts from labeling them as such. Moreover, because the law also sanctions use of Chapter 2 funds to support more generic "school improvement" programs, local staff can always label their new programs as "school improvement," thus making it unnecessary to meet all of the law's effective schools criteria.

The State Story: Retargeting, Rejuvenating, and Relabeling

In contrast to the local story, state education agencies are required to spend a fifth of the state Chapter 2 set-aside on effective schools programs--unless the state can prove that it is already spending at least twice that amount in state dollars on similar programs. Consequently, all states are mounting fairly significant effective schools programs. The three sample states adopted different tactics to meet this requirement, melding new efforts into already established programs or policies in three different ways.

Retargeting in Connecticut--Because of its own large efforts in the area of effective schools, Connecticut is one of the states waived from the requirement that it spend 20 percent of its Chapter 2 funds in this area. Since 1981, Connecticut has had a well-established, organized effective schools program, which currently allocates over $500,000 annually to support formal improvement efforts in a set of schools.

To meet federal regulations, then, Connecticut could simply maintain its current program and target Chapter 2 funds on other areas. Yet, SEA staff chose to use a portion of its state set-aside (approximately $60,000) to provide a set of low-performing, economically poor schools an opportunity to participate in the Connecticut effective schools process. In choosing these schools, the state targeted Chapter 1 program improvement schools. During 1989-90, nine of these schools were able to participate in the process.

Connecticut, then, used the Chapter 2 money to redirect some of its efforts to an especially needy group of schools. In the process, it used Chapter 2 funds to support Chapter 1 program improvement efforts, which we will discuss in the following section of this report.

Rejuvenation in Arkansas--Arkansas also has a tradition of supporting effective schools efforts, dating back to the early 1980s. In fact, the Arkansas program was based partly on the Connecticut model, and both share

conceptual roots in the pioneering work on efective schools done by Ron Edmonds in the 1970's. Like Connecticut, Arkansas' effective schools program provided in-depth state assistance to local districts to carry out needs assessments, to plan improvement strategies, and to put those strategies in place.

Unlike Connecticut, however, Arkansas has not had sufficient funds to maintain its effective schools program throughout the 1980s. Because of severe budget restrictions, the program was idle in the mid-1980s. Still, state staff remained committed to the process. The new Chapter 2 requirement that a portion of state funds be spent on effective schools programs provided the impetus to revive the earlier program. Accordingly, this past school year, state staff were able to bring five predominantly poor schools from the Delta region of the state into an effective schools planning process.

Relabeling of the Old and Initiation of the New in Pennsylvania--Although Pennsylvania did not have a formal effective schools program like Connecticut, it has used Chapter 2 funds to support a number of effective-schools-related activities. For example, the state supports a summer Principal's Academy that provides training in instructional leadership, one of the foundations of effective schools programs. In fact, some state staff argue that Pennsylvania's efforts in supporting instructional leadership training, in home-school cooperation efforts, and in whole-school improvement programs should exempt the state from the Chapter 2 effective schools requirement.

In the absence of a federal waiver, the state has easily been able to meet the federal requirement for Chapter 2 expenditures on effective schools programs simply by labeling its ongoing efforts as "effective schools activities." In addition, the state has launched a number of other Chapter 2-supported projects that fall under the general rubric of effective schools (e.g., a statewide dissemination effort).

Chapter 2 Effective Schools Summary

The effective schools provision in the Chapter 2 legislation, then, has not had a radical effect in any of our sample states or districts. At the local level, educators have chosen not to support or launch formal effective schools efforts with local Chapter 2 dollars. At the state level, however, the effects have been pronounced. The new requirements have had important effects for certain districts and schools. In Connecticut, the state has been able to reach out to a new constituency: low-achieving and poor schools that had had neither the funds nor the initiative to participate in the state effective schools process earlier. In Arkansas, the new requirements led to the rejuvenation of an older state program, allowing the state staff to revitalize an important strategy and provide real assistance to a set of especially needy schools in the Delta region of the state. In Pennsylvania, the legislation has lent fiscal and regulatory support to important ongoing improvement efforts.

Chapter 2 Support for Chapter 1 Program Improvement

The common goal of the Chapter 1 program improvement and Chapter 2 effective schools requirements--improving schooling through planned change--creates the potential for coordinated efforts between the two programs. We chose the three sample states specifically because there was evidence that such coordination was taking place. Although the extent of overlap in these selected sites is limited, the examples demonstrate the advantage of more integrated use of federal dollars to attack important educational problems.

Our examples of Chapter 1/Chapter 2 overlap are varied. In Connecticut, the state department of education used Chapter 2 funds to bring a set of program improvement schools into the state's effective schools program. In Pennsylvania, reallocated local Chapter 2 dollars were used to support program improvement efforts in a small set of schools. In Arkansas, a Chapter 2-supported state effective schools process is taking place alongside program improvement in a group of schools.

Connecticut: Bringing Chapter 1 Schools into the Effective Schools Process

Connecticut has a well-established effective schools program that has guided teachers and administrators in dozens of schools through a structured process to assess the needs of the school, plan changes to address those needs, and implement the plans. Although the program is targeted on schools in economically deprived communities, its cost (e.g., staff release time) has been a barrier to the participation of many poor schools. These are the type of schools that have also been targeted for Chapter 1 program improvement.

Recognizing that the program improvement label might stimulate the staff of some economically poor schools to search out assistance, and being aware of the schools' financial limitations, the SEA crafted a new strategy to reach these schools. Titled "Chapter 2 Schoolwide Program Improvement," the new program used state Chapter 2 funds ($60,000) to support the participation of staff from Chapter 1 program improvement schools. As the title suggests, this effort is meant to use Chapter 2 resources to support an improvement process that involves the entire school, including the Chapter 1 program. In fact, the program allows the staff of these schools to participate in the structured Connecticut effective schools program.

In this program's first year, 9 of the 44 schools across the state identified for Chapter 1 program improvement chose to participate in Chapter 2 Schoolwide Program Improvement. Each school received a $7,000 grant, and its staff participated in an effective schools planning session during the summer of 1990. For both sets of schools, Chapter 1 program improvement plans will be put into place during the 1990-91 school year.

Pennsylvania: Helping Needy Schools to Implement Innovative Program Improvement Plans

The Pennsylvania State Department of Education adopted an active stance in helping local districts to develop comprehensive Chapter 1 program improvement plans. As this process progressed, state staff recognized that certain districts and schools would require supplementary funds to implement

their improvement strategies fully. In their search for alternative sources of funds, these state educators looked to unused Chapter 2 funds from the previous school year. Administrators tapped into these funds ($90,000) and reallocated them to a group of 14 school districts.

The 14 districts then used the reallocated Chapter 2 funds, along with small grants from the Chapter 1 program, to implement their program improvement strategies. These strategies varied from site to site, typically including supplementary training of Chapter 1 staff and additional materials to allow for better articulation of Chapter 1 instructional services with those in the regular education program.

Arkansas: Coexistence of Chapter 1 Program Improvement and Chapter 2 Effective Schools

In Arkansas, the state department of education has not adopted an explicit policy to use Chapter 2 funds to support Chapter 1 program improvement. Rather, the state has targeted a Chapter 2-supported effective schools program on a set of schools in extremely impoverished areas, some of which have also been identified for Chapter 1 program improvement. Here, the state did not set out to coordinate the two programs or to foster coordination at the local level. It was because of their common goal--increasing student achievement in schools in economically deprived areas--that the separate programs ended up in the same schools.

In total, three Chapter 1 program improvement schools in the state are also participating in the Chapter 2-supported effective schools program. At the school level, the extent to which the two improvement efforts are coordinated or integrated depends on local factors. In one school, the programs sit side by side with little influence on one another. In another school, the effective schools and program improvement plans share many common elements, reflecting the input of a district administrator who works with both the Chapter 2 and Chapter 1 programs. The third school is in the process of becoming a schoolwide project in which effective schools and program improvement will become synonymous.

Summary and Policy Implications

The instances of Chapter 2 support for Chapter 1 program improvement we witnessed in the sample states have had positive short-term effects. In Connecticut, the availability of Chapter 2 funds allowed the state to reach an important audience for its effective schools program. Moreover, it helped a small set of schools targeted for program improvement proceed through a structured and well-tested process of evaluation, planning, and action. In Pennsylvania, the SEA was able to support a group of program improvement schools that had worked hard to devise Chapter 1 reform strategies but lacked the resources necessary to carry out those plans. In Arkansas, the coexistence of Chapter 2 effective schools and Chapter 1 program improvement in the same schools created the potential for integrated and coordinated reform efforts, which did take place in some schools.

Overall, these were situations in which everyone benefited. In each case, struggling local schools and districts received extra financial and/or technical support to review and revise services for low-achieving students. The state departments of education were able to advance their agenda of supporting improvement efforts in their states' neediest schools. The coordinated use of federal dollars targeted on bettering the educational opportunities of children in poverty also meets an overarching federal goal. Finally, these efforts can be praised because they generally sought to integrate federal categorical programs with the regular education efforts.

At the same time, we need to recognize that these efforts were extremely limited. Our sampling process turned up no other states in which Chapter 2 supports Chapter 1 program improvement. Even in our three sample states, few districts are involved--for example, in Connecticut only 7 of 668 schools receiving Chapter 1 funds participate in Chapter 2 Schoolwide Program Improvement; in Arkansas 3 of 838. Although this handful of schools may very well be the neediest, they are certainly not the only ones in need of financial and technical assistance to improve services for low-achieving youngsters.

Administrators with whom we spoke suggested that Chapter 2 support for the Chapter 1 program will always be limited. Chapter 2 is a small program relative to Chapter 1--on average, districts and states receive 1 Chapter 2 dollar for every 10 Chapter 1 dollars. Moreover, in most states and districts, Chapter 2 supports established programs or activities. In an era in which Chapter 1 budgets are increasing rapidly while Chapter 2 expenditures remain level, it is unlikely--and unreasonable to expect--that state and local educators will take money away from Chapter 2 activities to support Chapter 1.

Administrators indicate that Chapter 2 is meant to be a flexible source of funding for state and locally determined education improvement efforts. The findings of this study suggest that it would make no sense for the federal government to require Chapter 2 support of Chapter 1. Rather, these cases should be used as examples of innovative ways to use Chapter 2 funds and innovative approaches to Chapter 1 program improvement.

The lessons to be learned from the sample sites are not about a particular source of funding for improvement efforts, but rather about the importance of critically examining the shortcomings in specially funded improvement programs and devising workable strategies for addressing these problems. The state and local educators in our sample sites should be praised not for their resourcefulness in tapping into one federal program to support another but rather for their willingness to address sticky problems and try to find solutions. Similarly, the lesson for federal policymakers has less to do with mandating specific actions and more to do with encouraging coordinated use of federal dollars and with providing local and state educators the technical and financial assistance they need to create more effective programs.

III THE STATE CASES

In this section of the report, we provide concise case studies of each of the three sample states: Pennsylvania, Connecticut, and Arkansas. In each, we describe the overall context for education in the state and then review key features of the Chapter 1 and Chapter 2 programs at the state and local levels. We pay particular attention to Chapter 1 program improvement and state use of Chapter 2 funds to support effective schools activities. We then go on to describe the overlap between the two federal programs. Where relevant, we also provide an overview of other important state education initiatives--such as Connecticut's and Arkansas' effective schools programs.

Pennsylvania

Overview

During the past decade, the Pennsylvania Department of Education (PDE) has implemented numerous initiatives aimed at improving school quality, including a formal effective schools program, a state-sponsored review of schools' educational quality, a state testing and remediation program, and a widely disseminated whole-language curriculum. Running throughout these initiatives have been the PDE's twin goals of improving educational quality and ensuring educational equity--since many of the programs are directed at the lowest-achieving schools and students.

In the last decade, however, the state has faced severe budget shortages. The PDE has had to absorb massive cuts, losing over a third of its staff during a budget crisis in the early 1980s. These cuts have strained the department's ability to maintain its level of assistance to local districts, and a number of programs have been eliminated. More recently, the PDE has undergone a reorganization. A new state superintendent of schools, has restructured numerous parts of the department and replaced a number of department heads.

Although the state budget cuts do not directly affect the administration of federal programs, the PDE's Federal Program Office has to adhere to the same hiring freeze as other offices in the department. As state programs are reduced or eliminated, there is also additional pressure on federal programs to pick up the slack. Moreover, the Federal Programs Office has recently gone through its own reorganization, in which staff are assigned to regions rather than specific programs.

Within this context of fiscal belt tightening and administrative reorganization, Federal Programs Office staff have developed a program through which reallocated Chapter 2 funds are available to some LEAs to support Chapter 1 program improvement efforts. The regional structure of the

office accounts in large part for the development of this new strategy, as we will discuss in more detail in this section of the report.

The Local Picture

Pennsylvania has over 500 school districts ranging from small, one-school districts in the Appalachian Mountains to the urban centers of Philadelphia and Pittsburgh. Within the state, we visited five school districts. All five contain schools identified for Chapter 1 program improvement; three use Chapter 2 funds to support program improvement efforts. Table III-1 below provides some overall descriptive data on each of the sites. Throughout the rest of our analysis of Pennsylvania, we will refer to these five districts to illustrate points.

Table III-1

DESCRIPTION OF THE PENNSYLVANIA LOCAL EDUCATION AGENCY SAMPLE

	Number of Schools	Number of Chapter 1 Schools	Number of Program Improvement Schools	Chapter 1 Funds	Chapter 2 Funds
Middlevale	16	12	7	$670,000	$66,000
Admiral Byrd	6	6	1	200,000	25,000
Timberland	3	3	2	120,000	10,000
Redfield	7	6	1	350,000	20,000
Irving	11	10	4	2,200,000	135,000

- Middlevale. This district serves a small city in the northern part of the state. The district is facing a tight budget because of a depressed local economy. Seven of the district's 12 Chapter 1 schools were targeted for program improvement.

- Admiral Byrd. Admiral Byrd is a small rural district in the northern part of the state with a strong tax base and positive community support for its schools. The district is participating in a university higher-order thinking program that is supported in part by local Chapter 2 funds.

- Timberland. This district, with only three schools, covers over 100 square miles of forested region in northern Pennsylvania. It is a blue-collar, logging community in which school is closed for the first day of hunting season. A new superintendent, along with a veteran Chapter 1 coordinator, has spearheaded the Chapter 1 program improvement effort here.

- Redfield. Redfield School District serves a small city and its rural environs in the southern part of the state. The district is enthusiastically following the lead of the SEA, adopting a literature-based, whole-language program. The district is also heavily committed to school-based management, and each school has a team that develops 5-year plans with specific goals and objectives.

- Irving. Irving School District is located in Pennsylvania's rust belt. It serves a medium-sized city that has faced numerous plant closings and job reductions over the past decade. The district aggressively pursues federal funding and has a number of discretionary federal programs, including Even Start. Both the federal programs coordinator and the Chapter 2 director have been involved with federal programs for over 20 years.

The Chapter 1 Program in Pennsylvania

The Chapter 1 program is administered through the Federal Programs Office. The office also administers the federal Chapter 2 and Title II programs. For both practical and philosophical reasons, the new director of the Federal Programs Office has fully integrated the administration of the three programs. Staff members are assigned to one of nine regions in the state and hold responsibility for overseeing the implementation, monitoring, and evaluation of the three federal programs in the region. Practically, this arrangement means that only one staff member has to travel to each local district and local program administrators have to deal with only one state monitor. Philosophically, the integration of the three programs at the state level is consistent with the state message to LEAs that they seek to coordinate and integrate supplementary services to meet the educational needs of students most appropriately.

The Chapter 1 program is relatively large; with a budget in excess of $210 million, it serves over 200,000 students. The program, especially outside the large cities, has traditionally focused on remedial reading in

pull-out settings, outside the regular classroom. Statewide, approximately 70 percent of participating students receive assistance in reading versus some 25 percent in mathematics; two-thirds of the students receive instruction in pull-out settings.

The overwhelming proportion of Chapter 1 reading teachers are state-certified reading specialists, reflecting in large part the state's rigorous certification requirements for all instructional staff, including those in the Chapter 1 program. The fact that Chapter 1 teachers are often the only reading specialists in many schools places pressure on them to serve as a resource for the entire school.

The Federal Programs Office, partly in response to the new legislative language, is placing great emphasis on the coordination among supplementary program services and between Chapter 1 and the regular education program. In particular, state administrators are encouraging local educators to align the Chapter 1 program with the curriculum of the regular program. Formal monitoring of Chapter 1 projects now includes an examination of the extent to which the Chapter 1 project and the regular program are aligned. In the same vein, the state is also emphasizing the academic value of in-class service delivery models.

Chapter 1 at the Local Level

The Chapter 1 programs in the local districts we visited generally reflect these broader statewide patterns. Most Chapter 1-supported services involve reading specialists providing supplementary assistance to low achievers in separate classrooms. In many cases, the specialist has the help of an instructional assistant.

This overall pattern is complemented by a variety of other strategies, however. A number of the districts have small Chapter 1 mathematics programs targeted at a few grades. Moreover, four of the five districts we visited are experimenting with other service delivery models. One district has already implemented a team teaching approach to the delivery of Chapter 1 services. Others are looking at a variety of options that would allow

Chapter 1 students to remain in their regular classrooms. In general, district administrators and teachers are seeking ways to improve their services to low-achieving students and to coordinate supplementary services more closely with those in the regular classroom. This pattern, in part, reflects the state's emphasis on program integration.

Chapter 1 Program Improvement

Pennsylvania's Federal Programs Office has taken an active stance toward implementing the new Chapter 1 program improvement requirements. In fact, the PDE was already sponsoring what it termed a "program improvement" process before the federal mandates were signed into law. This state program (entitled MAGIC--Mid-Atlantic Guidelines for Improving Chapter 1) dated back to the 1983-84 school year, when Pennsylvania became involved in a federally funded program along with other eastern states. Through the MAGIC process, schools and districts were identified in which the Chapter 1 program was not leading to higher student achievement. These schools and districts then were matched with staff from a more successful district. Staff from the second district would conduct a thorough evaluation of the poorly performing school and suggest changes. In the 1985-86 school year, the state assumed sponsorship of the program.

In Pennsylvania, then, the new Chapter 1 program improvement requirements were interpreted within a context in which there was already an ongoing commitment to state identification and assistance to poorly performing Chapter 1 programs. Although the final form of program improvement in Pennsylvania did not replicate the earlier MAGIC process, the fact that local and state educators were accustomed to the process of program improvement probably made it easier to implement here than it would have been otherwise.

In the fall of 1988, immediately after the Hawkins-Stafford Amendments became effective, the PDE formed a Committee of Practitioners (COP) to fashion a program improvement plan for the state. One of the first acts of the COP was to recommend a survey of local administrators to get their opinions on a variety of issues involving Chapter 1 and the program

improvement process. The results of that survey showed, among other things, that local district administrators believed that schools identified for program improvement should not be subject to the rigorous review required by the MAGIC process.

Taking into account the opinions of local educators, the PDE and the COP wrote a series of draft state program improvement plans, releasing a final version in Fall 1989 and a revised version in April 1990. The state plan reflected a balance of the opinions of PDE staff, the Committee of Practitioners, and local educators, as gleaned through an additional survey conducted in December 1989.

The Pennsylvania program improvement plan calls for a 3-year phase-in of criteria for targeting a school for program improvement. In the first year (1988-89), schools were targeted for improvement if they reported a zero or negative normal curve equivalent (NCE) result. In succeeding years, identification takes place based on either of two criteria:

(1) Measures of aggregate performance (typically NCE gains on a standardized test).

(2) Measures of substantial progress, including achievement of success in the regular program, attainment of grade-level proficiency, and improved achievement in basic and more advanced skills.

In essence, Chapter 1 students have to perform well in both basic and advanced skills on standardized tests and perform well in the regular education program of the school.

Any school that does not meet these criteria must develop a program improvement plan. The state offers technical assistance to all schools and districts requesting it and also offers funds to schools in need of improvement. The Federal Program Office's perspective is that being targeted for program improvement should be viewed as an opportunity to improve a local program. As one state administrator put it, *"We want local educators to use this as an opportunity to think critically about their programs; to think about what can be done to improve services to students."* Naturally, many

local districts initially perceive the "in need of improvement" label as a stigma. One state consultant noted that *"the locals haven't bought the state line completely; we still have a selling job to do."* As we discuss below, however, many local educators are taking advantage of the program improvement flagging to change their programs for what they perceive to be the better.

Chapter 1 Program Improvement at the Local Level

On the basis of NCE scores for the 1988-89 school year, 146 schools were identified for program improvement across the state. The Federal Programs Office required each school to submit a program improvement plan during the fall of 1989, delineating steps the school and district would take to improve the performance of Chapter 1 students. State staff then visited each district with program improvement sites and reviewed the plans and funding requests personally with the local administrators. These visits typically resulted in a revised improvement plan that was quickly approved by the Federal Programs Office. Some plans were approved as early as November 1989; others were not finalized until May 1990. Most local sites had begun implementing their plans in Spring 1990.

Generally, local educators had mixed reactions to their schools' being targeted for program improvement. The initial reaction was often negative--program improvement labeled them as failures. With the support of PDE staff and the potential for small increases in funding, however, local educators in many sites began to look on the program improvement process as an opportunity. The resulting program improvement plans, although varying widely across sites, often shared two common themes: (1) they included specific strategies targeted to raise test scores quickly (e.g., teaching students how to take tests better), and (2) they involved more fundamental improvement strategies designed to alter the basic program. Essentially, sites typically sought both short-term solutions to low test scores and long-term solutions to ineffective programs.

Timberland, with its two elementary schools targeted for improvement, provides an example of the program improvement process in Pennsylvania. Here local administrators reported that they initially worried about the program improvement label. Moreover, they were confused about the requirements for an improvement plan and how they were expected to implement it. The SEA played a central role by first providing written guidance to all identified sites and then following up with a personal visit to the district to discuss the plan and to offer suggestions and financial assistance. It was at the point of the visit, a local educator noted, *"that we realized that this did not have to be negative--that we could see this as a chance to rethink the Chapter 1 program."*

With guidance from the state, the superintendent, the director of the Chapter 1 program, and both Chapter 1 and regular program teachers forged a final plan that incorporates both long-term and short-term strategies. On the one hand, the plan calls for the teaching of test-taking strategies to teachers and the targeting of extra assistance on the very low scorers. On the other, it includes provisions for the purchase of curricular materials for the Chapter 1 program to match the new language series in the district, training for Chapter 1 staff in the new curriculum, and involvement of both Chapter 1 and regular teachers in the shared decisionmaking process.

To implement the new plan, Timberland requested $10,000 from the PDE. With Chapter 1 program improvement funds, the PDE allocated over $4,000 to the district. PDE staff then supplemented that figure with an additional $6,000 in reallocated Chapter 2 funds. The district began to implement its plan in Spring 1990 with the purchase of curricular materials and attendance at an inservice workshop.

Program improvement in the Timberland School District, then, reflects both SEA goals and local priorities. The focus in the program improvement plan on coordination with the regular program resulted in part from the strong state emphasis on closer alignment of supplementary and regular services for low-achieving students. Program improvement plans throughout the state include strategies for reducing the fragmentation of services to these students. On the other hand, the Timberland staff developed a plan

that reflects broader trends in that particular district. Specifically, the decision to incorporate the Chapter 1 program into the district's new language arts curriculum was a function of the fact that the district is currently placing great emphasis on revising its entire approach to the teaching of language arts. Because the call to change the Chapter 1 program came at the same time as the district was in the midst of rethinking its entire language arts program, changes in the Chapter 1 program reflected trends in the overall language program.

Overall, these two patterns (reflecting the PDE's focus on program integration and broad local reform efforts) converge to underscore a final theme in the Pennsylvania program improvement story: program improvement planning here tends to incorporate the needs and perspectives of both regular program and Chapter 1 program staff. Here, perhaps more so than in other states, the "crisis" of being identified as needing improvement proved to be a sufficient catalyst to bring teachers and administrators from across schools and districts to reexamine how they provided services to Chapter 1 students. Typically, as we have described above, this reexamination has led to small changes in the overall Chapter 1 program and increased coordination between Chapter 1 and the regular program. In some cases, however, the program improvement process led school staff to reexamine their entire curricular efforts--in one case speeding the transition to a whole-language instructional approach.

Chapter 2 in Pennsylvania

The Chapter 2 program in Pennsylvania supports a variety of activities, consistent with the intent of the legislation to foster innovative improvement efforts that meet the particular needs of individual states and local districts. Like Chapter 1, the Chapter 2 program is formally overseen through the Federal Programs Office in the PDE. The Chapter 2 priorities, however, are more diverse, and many of the specific programs supported by Chapter 2 are actually administered out of other offices.

The Pennsylvania state Chapter 2 allocation amounts to over $20 million, of which $3.5 million is reserved for state use (1989-90). The state sponsors programs in all of the targeted areas. Among these are:

- Open Libraries: Provides instructional materials and reading material of interest, especially to students at risk.
- Keystone School: Identifies low-achieving schools and provides funds for technical assistance and professional development.
- Pennsylvania Comprehensive Reading Plan II: A whole-language curriculum framework that is having a significant effect in local districts throughout the state.

The state reserves over $1.5 million of its Chapter 2 funds to support effective schools-related activities--significantly more than is required in the law. Its effective schools activities are:

- Families and School Home Team Effort: An effective schools program that encourages parents to become involved in the schools.
- Advanced Placement: An effective schools model designed to teach highly motivated students.
- Principal's Academy for Instructional Leadership: A leadership training program for principals that includes follow-up technical assistance.
- Schools Cooperation: An effective schools model aimed at promoting improved relations between management and labor in schools.
- Re:Learning (Coalition of Essential Schools): Support for a set of of schools and districts involved in a national effective schools program.
- Effective Schools Awareness Project: A comprehensive dissemination and technical assistance effort aimed at making all schools in the state aware of effective practices.

Importantly, most of these programs were not developed to meet the federal requirement that 20 percent of the state set-aside funds be used for effective schools programs. The principal's leadership academy and the Coalition of Essential Schools, for example, have been in place for years and have been funded in part by Chapter 2 funds in the past. Administrators here note that Pennsylvania was already doing much of what the federal government has since required.

Chapter 2 at the Local Level

At the local level, the use of Chapter 2 funds differs considerably across districts and schools. In many districts, Chapter 2 continues to support the purchase of library books and computer equipment--but at least in the district we visited, these purchases were part of well-developed educational programs. Moreover, we found a number of districts that were using Chapter 2 funds to support innovative and new programs and others in which Chapter 2 funds were coordinated with Chapter 1 efforts. The use of Chapter 2 funds varied so widely, we provide a few examples of different uses:

- Chapter 2 support for compensatory education: In one district, over 90 percent of the district's Chapter 2 allocation goes to support an in- school tutoring program for at-risk students. Teachers are asked to recommend candidates for the program and those in greatest need are scheduled each day into a tutoring class. The tutoring program supplements the Chapter 1 program. In one school we visited, remedial services in reading were funded through Chapter 1; those in math were funded through Chapter 2.

- Chapter 2 support for innovative projects: In the Irving District, Chapter 2 is used to support experimental, innovative projects, which, if successful, are subsequently supported by general district funds. For example, 2 years ago the district used Chapter 2 for a career education project. The project was successful and the district funded it last year with general funds. Last year, Chapter 2 supported a tutoring program, which also worked well and so is now supported by the district. This year, Chapter 2 is supporting an instructional technology staff development program that is scheduled to be supported by the district in 1990-91. In this manner, the district gets to try out new ideas with the flexible federal funds before committing its own resources.

- Library books as part of a broader district effort: In Timberland, Chapter 2 funds have traditionally been used to buy computer equipment for the schools. This past year, however, the district implemented a school-based management model. In the school planning meetings, teachers complained that they were being asked to implement a new language arts curriculum that called for an increased use of authentic children's literature, while the school libraries had a very limited selection. The teachers asked for more literature books in the libraries and the district has decided to use Chapter 2 funds for this purpose.

So, in Pennsylvania, we found that consistent with the legislative intent of Chapter 2, the funds are used for a variety of purposes at the local level. At the same time, we uncovered a general trend, consistent with the philosophy of P.L. 100-297 and with PDE policy, toward a more focused use of the funds. More than in previous years, many local districts are working to ensure that their funds are spent for specific educational programs, not simply to support general budgets. At the same time, we found a few instances in which Chapter 2 funds have been supporting Chapter 1-like programs for quite a few years. In these cases, the coordination between the two programs reflects neither federal intent nor PDE philosophy. Rather, it is based on long-standing local priorities to provide sufficiently rich remedial services to low-achieving students.

Chapter 2 Support for Chapter 1 Program Improvement in Pennsylvania

The story of Chapter 2 support for Chapter 1 program improvement is straightforward in Pennsylvania. Federal Programs Office staff have used reallocated Chapter 2 funds to provide small grants to help a small set of local districts implement their program improvement plans. This case is remarkable because it exemplifies state staff's use of dollars from different federal sources to support a coordinated attack on problems of high priority for federal policymakers: the improvement of educational services to at-risk students.

In Pennsylvania's case, 62 local districts containing 146 program improvement schools requested over $230,000. State section 1405 funds, which totaled some $150,000, were not sufficient to meet these requests. In some cases, Federal Programs Office staff did not see a compelling reason to meet the requests fully. In many cases, however, it was clear that the local funding requests were based on real needs and well-thought-through plans--which in turn reflected the SEA's encouraging of local districts to

take program improvement seriously as an opportunity to reshape the quality of their services. Consequently, state staff took the initiative to seek other sources of funds, resulting in the redirection of reallocated Chapter 2 dollars.

The supplementary Chapter 2 funding was not large. The state was able to allocate approximately $90,000 to 14 school districts. Table III-2 shows the size of the grants relative to district requests and Chapter 1 section 1405 funds allocation for three of the districts in our sample. For the state as a whole, these grants, averaging less than $6,500, are not sufficient for local districts to hire new staff or retool their programs completely. However, such marginal funds are often enough to allow the districts to implement significant changes that they would not have been able to do otherwise. Targeted on a small number of districts and schools, these funds seem to have had quite a bit of leverage at the local level.

Table III-2

CHAPTER 2 SUPPORT FOR CHAPTER 1 PROGRAM IMPROVEMENT
IN THREE PENNSYLVANIA LEAs

	Funds Requested	1405 Funds Allocated	Chapter 2 Funds Allocated
Timberland	$10,000	$4,430	$5,570
Admiral Byrd	5,000	670	4,300
Middlevale	21,500	16,000	3,600

The supplementary funds seemed to be especially important in districts in which Chapter 1 program improvement identification has led to fundamental changes in the Chapter 1 program. For example, in Admiral Byrd, the program improvement plan called for a radical shift toward in-class Chapter 1 services. Among other changes, this new service delivery model required new curricular material for the Chapter 1 program. The district's current Chapter 1 budget, supplemented by the small amount of section 1405 funds,

was not sufficient to cover the cost of these new materials. The supplementary Chapter 2 funds allowed the district to move ahead with its improvement plan without delay.

In Timberland, a similar scenario unfolded. Here, the program improvement plan calls for significantly more coordination between the Chapter 1 and regular programs. Since the regular language program in the district is in the process of changing to a whole-language approach, many of the classroom teachers are going through inservice training to learn the new approach. Increased coordination with the regular program requires that the Chapter 1 teachers experience the same training. At the same time that the Chapter 1 office is buying new materials and working to reshape the program, intensive retraining has proven quite costly. Here the extra Chapter 2 funds from the state ensured that the Chapter 1 teachers could attend these training sessions.

Pennsylvania Summary

Pennsylvania provides a unique story of the early implementation of Chapter 1 program improvement and the use of Chapter 2 funds to support that implementation. Here a relatively new Federal Programs Office staff, under the leadership of a new director, adopted a very proactive stance toward Chapter 1 program improvement. The staff encouraged local districts to take program improvement seriously and to use it as an opportunity to rethink how federal compensatory education services are delivered to students. In Pennsylvania, unlike many states, locals had their program improvement plans written and revised by late fall of 1989 and were ready to implement them in the spring of 1990.

Yet, as some districts developed relatively comprehensive improvement strategies, they sought both technical and financial assistance from the state. Because staff responsible for overseeing local districts' program improvement strategies are also responsible for monitoring the Chapter 2 program, they were in a position to look to this smaller program for support for the Chapter 1 efforts. In fact, locals in Pennsylvania typically do not

spend a small portion of their Chapter 2 funds, which are returned to the state. State staff were able to tap into this reserve and reallocate it to a small set of especially needy locals. The locals in turn used the supplementary funds to put in place relatively ambitious program improvement plans--plans that they would not have been able to follow through on completely or quickly in the absence of the extra support.

Overall, then, Chapter 2 support for Chapter 1 program improvement in Pennsylvania can be seen as both important and marginal to the broader effort to improve Chapter 1 services. It is important because it provides an example and sets a precedent of state staff's using federal dollars from different sources to support a goal common to both the Chapter 1 and Chapter 2 programs. Here, program goals became more important than program boundaries or histories. Moreover, in a small set of local districts, the extra funds proved important in implementing improvement strategies for the Chapter 1 program.

At the same time, these efforts have been marginal. First, the amount of funds is small. In Pennsylvania, over $200 million is spent annually on Chapter 1 services. Chapter 2 support for those efforts accounts for a minuscule proportion of this figure (0.045 percent). Even in those districts receiving the supplementary Chapter 2 funding, it accounts for only a few percentage points of their total Chapter 1 allocation. Second, state use of Chapter 2 funds for Chapter 1 program improvement takes place on the margins of normal budgeting and program development. There is no budget item for this effort, and it does not show up in the state application for Chapter 2 funds. In fact, the state does not spend any of its own Chapter 2 funds on these efforts, instead reallocating unspent local dollars. The continuation and level of the effort, then, depend entirely on the extent to which locals do not use all their Chapter 2 dollars. There are few signs that this program will be institutionalized at the state level.

Connecticut

Overview

Connecticut is the most affluent state in the Union and ranks in the top five states nationally in expenditures per pupil for K-12 education. The state's recently enacted Education Enhancement Act has stipulated a minimum teacher salary, ensuring that Connecticut's teachers are among the highest paid in any state. Connecticut also enjoys a strong state department of education, known nationally for its work in indicators of educational quality and school reform. The Connecticut School Effectiveness Program is emulated in numerous other states as a successful strategy for promoting school improvement.

At the same time, Connecticut has significant pockets of rural poverty and contains 3 of the nation's 25 poorest cities: Hartford, Bridgeport, and New Haven. The new state teacher salary requirements have hit these poorer districts especially hard. The state is also experiencing a sluggish economy, which has resulted in the state government's facing a severe deficit after nearly a decade of significant surpluses. These factors combine to strain Connecticut's ability to maintain its high level of support for elementary and secondary education.

We include Connecticut in the study because of its long track record in effective schools and because of its use of Chapter 2 funds as an incentive to bring schools identified for Chapter 1 program improvement into the state school effectiveness process. The state has set up a system called "Chapter 2 Schoolwide Program Improvement" and makes funds available to those Chapter 1 program improvement schools that want to link Chapter 1 planning with campuswide effective schools. There are nine Chapter 1 program improvement schools in six districts that are going through the Chapter 2-supported effective schools program.

The coordination of federal and state programs is facilitated by the organizational structure of the state department of education. Both the federal Chapter 1 and Chapter 2 programs fall within the Bureau of School and Program Development in the Connecticut State Department of Education. The Bureau consists of four units, including Compensatory Education and School Development. Compensatory Education includes Chapter 1 and a similar state program, Education Evaluation and Remedial Assistance (EERA). School Development encompasses both Chapter 2 and the Connecticut School Effectiveness program.

Compensatory Education and School Development were at one time a single unit that included staff familiar with both Chapter 1 and school effectiveness. Five years ago, the unit split into its present configuration. Many of the same personnel remain and have had experience with both programs. Importantly, the two-person teams that oversee the Chapter 2 Schoolwide Program Improvement schools include one person from each of the two relatively new units.

The Local Story

The units of participation in the Connecticut School Effectiveness and Chapter 2 Schoolwide Program Improvement processes are individual schools. District administrators have been involved, but the activities are predicated on school-level staff involvement in the training and planning sessions. We chose to study five program improvement schools in four LEAs. Three of the five schools participate in the Chapter 2 Schoolwide Program Improvement process. Table III-3 on the next page provides some basic data on the districts we visited, followed by brief narratives about each.

Table III-3

DESCRIPTION OF THE CONNECTICUT LEA SAMPLE

	Number of Schools	Number of Chapter 1 Schools	Number of Program Improvement Schools	Chapter 1 Funds	Chapter 2 Funds
Janeway	5	5	1	$ 250,000	$ 30,000
Georgetown	3	2	1	80,000	20,000
Dixon	41	22	11	6,150,000	325,000
Harbor Island	39	17	4	6,500,000	333,000

- Janeway School District. The district is located in the rural northeastern section of the state and serves a student population of 2,600. Janeway has the lowest tax base in Connecticut. The community as a whole is characterized as "poor, white, and working class" and nervous about the aftermath of a recent mill closing.

- Georgetown School District. Georgetown is a small, rural, fairly poor community in the northeastern part of the state. A large elementary school (1,300 students) was split into an elementary school and a middle school recently. There is a principal at each site, and each new school is going through the Chapter 2-funded schoolwide improvement process. The Connecticut School Effectiveness process was under way before the split, putting Georgetown ahead of all other schoolwide improvement schools.

- Dixon School District. The Dixon School District serves an urban area with high concentrations of economically and academically disadvantaged youth. The district is in a change mode with a new superintendent and big changes envisioned for compensatory education. There is also a strong push toward school-based management, pressure that is exerted at the building level. In this district, we studied two program improvement schools, one of which participates in the Chapter 2-supported effective schools program.

- Harbor Island School District. Harbor Island is a medium-sized city in the southern part of the state. The district serves 19,000 students, 8,000 of whom qualify for Chapter 1 services. Of its 30 elementary schools, 15 have Chapter 1 projects. Four Chapter 1 schools were identified for program improvement last year.

Compensatory Education: Chapter 1 and EERA

The Chapter 1 program provides Connecticut with approximately $50 million annually. In addition, the state compensatory education program, Education Evaluation and Remedial Assistance (EERA), adds another $8 million. These two programs are administered jointly at both the state and local levels.

The Connecticut Chapter 1 effort is focused on providing instructional services in math, reading, and language arts primarily to elementary grades. A variety of instructional delivery models are in use around the state, including pull-out, in-class, replacement, computer-assisted instruction, and summer programs. In spite of this variety, Chapter 1 has a reputation as being somewhat isolated, with rules and regulations that set it apart from other school programs. This situation is due in part to the fact that school-level Chapter 1 staff traditionally have been accountable to the district Chapter 1 supervisor, not the building principal. Moreover, locals have often interpreted the "supplement not supplant" rule as automatically precluding integration with the regular program.

Changes are occurring, however, particularly in conjunction with other reforms (e.g., team teaching and in-class services). The state is encouraging districts to implement the in-class model, and many locals are moving in that direction. In Janeway, for example, a newly configured middle school is developing a parallel change from a pull-out to an in-class design that reflects middle school concepts (e.g., heterogeneous grouping).

Chapter 1 services are provided by staff divided almost equally between teachers and aides. There is some concern at the state level over the quality of services provided by aides. As a result of this, Connecticut was involved, along with other states, in persuading the U.S. Department of Education to sanction a new instructional model for Chapter 1. Aides in an in-class project can now be used to free the teacher to work with the Chapter 1 children, and the state encourages adoption of this model.

Functioning under the same rubric of compensatory education, EERA provides grants to districts for meeting the needs of low-achieving children. It is intended to foster a comprehensive program of student diagnosis, assistance, and evaluation to improve basic skills achievement. The objectives of EERA and Chapter 1 are essentially the same, and they are administered jointly at the state level and in the schools. The main difference between them is that Chapter 1 targeting formulas exclude certain schools, whereas all Connecticut schools are eligible for EERA grants.

The following are examples of local Chapter 1 strategies:

- In Janeway, the schools vary considerably in their models of service delivery--reflecting the district's decision to give principals responsibility for administering the program at the school level.
- In Georgetown, Chapter 1 staff have made a similar decision to give principals control over their Chapter 1 project. The theory here is that principals are in the best position to determine what services are needed to address student performance problems. Chapter 1 at the elementary school level is also gradually moving to an in-class model.
- Dixon schools have completed the first year of a districtwide switch from pull-outs to an in-class electronic textbook program for grades two through five. The subject areas covered are reading, language arts, and math. There is also a bilingual component encompassed by Chapter 1/EERA, and it is linked to the computers as well.

Except for program improvement, Chapter 1 in Connecticut has not been heavily affected by P.L. 100-297. With respect to parent involvement, the state already has a strong Chapter 1 parent advisory council, which meets monthly. Parent involvement is also strong at the local level, with parent advisory councils dating back to the early days of Title I. There is also a strong commitment to advanced skills by the state generally and for compensatory education populations, reflected primarily in the higher-order-thinking items on the Connecticut Mastery Test.

Chapter 1 Program Improvement

Program improvement is the most significant current development for Chapter 1 in Connecticut. The committee of practitioners, charged in the statute with writing the state program improvement plan, has been very active, meeting 10 times so far. The proceedings have been heavily oriented toward evaluation and have concentrated on two issues: (1) the standards for aggregate performance and (2) ways of incorporating the Connecticut Mastery Test into the plan.

The state program improvement plan has two standards:

- Standard 1: Each school district in Connecticut will identify every school receiving Chapter 1 funds in which Chapter 1 participants do not demonstrate substantial progress toward meeting the desired outcomes described in the school district's approved application. Substantial progress is to be determined by each school district and stated in the application. Substantial progress may be a lower standard than the stated outcome, may be differentiated by grade span, but for basic and more advanced skills, grades two through twelve must include a positive normal curve equivalent (NCE) gain; or

- Standard 2: Each school district in Connecticut will identify every school receiving Chapter 1 funds in which Chapter 1 participants in the aggregate do not show improvement or show a decline over a 12-month period. A positive NCE gain is required for Chapter 1 projects in basic and more advanced skills, grades two through twelve.

In the first standard, the state is encouraging districts to set their own standards in the form of desired outcomes. The minimum desired outcome is a positive aggregate NCE gain, which is linked in Standard 2 to the federal requirement for annual testing. In sum, the Connecticut program improvement trigger is a zero or negative NCE gain for the Chapter 1 students in the school as a whole.

According to state staff, districts are reluctant to identify buildings for program improvement--due to the stigma of being openly identified as having a struggling project. State staff believe that this reluctance resulted in an incomplete list of program improvement sites (44 for the 1989-90 school year). State staff have no ongoing way of verifying program

improvement reports. Although districts collect building-level data every year, it is reported to the state only every other year. (Historically, the Connecticut State Department of Education has never collected building-level data. This situation will change soon with state-mandated school report cards that are to be developed and implemented in 1991.)

Local recalcitrance in the face of program improvement is also affecting its speedy implementation. Local planning that was supposed to take place during 1989-90 gave way to a pervasive "wait-and-see" attitude on the part of many locals. Spring 1990 test results were widely viewed as a second chance to exit the process before the planning and implementation phases. The idea that program improvement is an opportunity for Chapter 1 projects to experiment with new designs and innovations has not gained wide acceptance in Connecticut.

However, a few schools provide sharp contrasts to the overall picture on program improvement presented by state compensatory education staff. Some--including the middle school in Janeway--want to be flagged to have access to the extra resources and technical assistance associated with program improvement planning. In some of these cases, Chapter 1 program improvement is seen as consistent with wider interest in reorganizing the school.

The state compensatory education unit oversees the distribution of a federal program improvement grant for Chapter 1 projects. The state received $90,000 for 1989-90 and offered a grant of $2,000 to each identified school. Districts are responsible for writing and implementing program improvement plans in flagged schools, and for submitting a list of these schools to the state. The state has played a minimal role in working with locals on the development of these plans, providing technical assistance on request.

In part because the state has not been heavily involved with shaping the local responses to program improvement, the plans have taken various forms. In Georgetown, for example, the program improvement planning task was taken over by the existing school improvement/effectiveness team. Members were receptive to giving special attention to Chapter 1 and were attracted by the

extra resources. The plan targeted language arts in kindergarten, and gave intensive tutoring to children considered to be most in need of language development assistance. This is an interesting case because the school's Spring 1990 posttest results for grades two through five indicate that it is no longer under program improvement requirements. It appears that program improvement provided resources for activities that the school already was interested in pursuing (e.g., kindergarten language development) and that the ensuing "plan" is not what was responsible for the increased test scores.

Janeway provides a related case. Here the middle school actively sought to be identified for program improvement to take advantage of the extra attention and resources. Staff were looking for assistance to support middle school retooling already under way. Here, then, improving the Chapter 1 program is only one piece of the broader improvement effort, funded from different sources. For example, the principal is also using a special $7,000 Chapter 2 Schoolwide Program Improvement grant from the state to finance the middle school transition. (This program is described in more detail below.)

Chapter 1 program improvement funds along with monies from other local and state sources helped fund existing priorities in both Georgetown and Janeway. These activities were broader than Chapter 1 and encompassed processes that were more extensive than those implied by focusing on the deficiencies in Chapter 1 alone. At the same time, each paid special attention to compensatory education to ensure that it was included in the important transitions.

A similar theme is evident in Dixon, where the school district is undergoing many changes. Eleven schools are currently going through Chapter 1 program improvement, a process that meshes with and expands on new comprehensive school plans that all buildings are required to prepare. These plans are a central feature of the district push toward school-based management. The comprehensive plans are written in consultation with staff and parents.

For the Chapter 1 program improvement sites in Dixon, the planning session required of all schools is not sufficient for the scope of work needed to implement an improvement strategy, according to a district representative. The Chapter 1 program improvement schools take a 2- to 3-day period for a more detailed examination of the Chapter 1 project and other aspects of the instructional program. A further subset of schools, the three that received Chapter 2 Schoolwide Program Improvement grants, are going through the multi-phase Connecticut School Effectiveness process, on top of the mandatory planning required by the district and the Chapter 1 program improvement process.

Like the smaller districts described above, Dixon schools are directing extra scrutiny at compensatory education programs by including them in an extant planning process. According to a district administrator, program improvement identification implicates the entire school program, and indicates that campuswide improvement is needed. Coordination between improvement efforts is seen as desirable and necessary.

The program improvement schools in Harbor Island were all flagged on the basis of performance in first grade, and included cases where fewer than 80 percent of the compensatory education students achieved mastery on the 90 lessons conducted during the 1988-89 school year. The Chapter 1-funded program improvement teams examined the programs at each school. They also looked closely at the criterion used for the identification standard. Parents were closely involved in the planning process, and the resulting plan devoted considerable resources to support the parent involvement component.

Chapter 2 in Connecticut

In 1989-90, Connecticut received about $5,500,000 in Chapter 2 funds. The SEA set-aside amounts to just over $1 million. According to state staff, Connecticut historically has not always used these Chapter 2 funds for well-specified activities. Influenced by the clear language of P.L. 100-297, however, the state has tightened the use of Chapter 2 funds and targets most of the funds for services. Specifically, the state's share of the Chapter 2 dollars is used for:

- State administration: 22 percent ($230,000)
- Technical assistance and statewide activities: 61 percent ($642,829)
- Direct grants to LEAs: 9 percent ($100,000)
- Direct grants to Regional Education Service Centers: 8 percent ($80,000).

Because of substantial state investment in effective schools efforts, Connecticut received a waiver from the federal requirement that 20 percent of the SEA set-aside be earmarked for effective schools programs.

There is a close relationship at the SEA between the administrative structure of Chapter 2 and the Connecticut School Effectiveness program. Both programs are overseen by the same individual, and much of the technical assistance provided under state Chapter 2 provisions is performed by school development consultants. These consultants, however, are not paid with Chapter 2 funds but are supported by state dollars. The Chapter 2 funds themselves are spent on other expenses associated with technical assistance, such as outside trainers or, in a few cases, release time for participating teachers.

Fewer of the new priorities of Chapter 2 are evident in the way that local grants are spent. Before P.L. 100-297, textbooks and instructional materials accounted for over 80 percent of the public and nonpublic Chapter 2 entitlements in 1987-88. Now, the law includes six targeted areas, but state

Chapter 2 personnel indicate that the proportion of local dollars devoted to instructional material and library book acquisition remains about the same. In one district we visited, for example, Chapter 2 is used to fund computers, software, and library books. The superintendent would like to see interactive television added to this list.

There are, however, many districts that go against this pattern. In a number of them, a broad interest in Chapter 2 support for professional development activities exists. In three of the sites we visited, local administrators were using Chapter 2 funds quite innovatively:

- In Dixon, Chapter 2 helps support an arts magnet school in the district, a collaborative venture with a university foreign language center, and other innovative programs. The point behind these special activities is to attract suburban students whose families might otherwise keep them out of the district.
- In Harbor Island, a $333,000 grant is split between materials purchased and the salaries of instructors who provide supplemental programs to enhance the regular program.
- The Chapter 2 grant in Janeway funds aides employed to support the certified Chapter 1 staff. The district is committed to the at-risk priority service target for Chapter 2 and directs the bulk of its monies to these aides. Five aides are funded for this purpose.

Connecticut Effective Schools

The Connecticut School Effectiveness program dates back to 1981. About 150 schools have gone through the process, with 30 to 40 schools currently involved. The School Effectiveness Report of February 1990 describes the process, starting with the following definition:

> An effective school is a school which brings low-income children to the mastery level which now describes successful performance for middle income children. Mastery is defined as competence in those skills necessary for success at the next grade level.

Economically disadvantaged or "low-income" children are a priority for the school effectiveness project, and most participating schools have typically had at least 25 percent of their student population falling into

this category. (In 1989-90, it was 74 percent of the participating schools.) The state will also advise schools that are implementing other school improvement models, subject to available resources. This advisory category is very small: 10 schools in 1989-90.

The basic steps of the effective scools process include:

- Initial contact between schools that volunteer and state consultants: At this time, district support is sought for the school-based planning, school participation, and collaborative decisionmaking that is implied by the Connecticut model.

- Faculty orientation to the process, the relevant research, and the long-range commitment that is required.

- Administration of the Connecticut School Effectiveness Questionnaire. This instrument is designed to capture school faculty perceptions on the following seven school effectiveness features:

  1. Safe and orderly environment (9 items)
  2. Clear school mission (16 items)
  3. Instructional leadership (24 items)
  4. High expectations (14 items)
  5. Opportunity to learn and time on task (10 items)
  6. Frequent monitoring of student progress (9 items)
  7. Home-school relations (15 items).

  The results of the questionnaire are compiled at the state level and returned to the school, where they are discussed. They are also shared with the state consultant, who "does not interpret the results but helps the faculty understand and draw inferences from the data."

- Developing the action plan. This involves a faculty retreat and perhaps some preliminary steps, like constructing a mission statement. The plan draws on data from the questionnaire and other school assessment information.

- Implementation. This is where resources and staff development are brought to bear on the "climate for improvement" that emanates from the planning process.

- Evaluation and rejuvenation, to ensure that the school-based planning process is institutionalized and that students are progressing satisfactorily toward mastery of basic skills.

In the mid-1980's, the Connecticut SEA conducted an evaluation of the school effectiveness program. While acknowledging that most participants have regarded it as a process-oriented improvement program, the state

collected implementation and outcome data. Student achievement data from numerous schools involved in the process indicated that the program has had a positive influence on student achievement.

Typically, there is no state money for the schools involved in the training. Participating schools and districts have to support substitute teachers and release time. In general, districts do not use Chapter 2 funds to support their participation in the process. The only Chapter 2 money that is used for effective-schools-related expenses is the special grant program described below.

Connecticut School Effectiveness and Chapter 1 Program Improvement

In spite of their commitment to involving schools that serve high proportions of at-risk youth in the Connecticut School Effectiveness program, state personnel concede that there are persistent barriers to getting the "right" schools to participate. Because LEAs typically have to provide money and release time to enable local staffs to participate in effective schools training, schools that volunteer are often more affluent and more committed to staff development than poorer schools. Moreover, the participating schools may not be the schools that are most in need of what school effectiveness has to offer.

To remedy this situation, state staff decided to target Chapter 1 program improvement schools for the effective schools process. By definition, program improvement schools have high concentrations of poor students and are performing poorly--appropriate candidates for state assistance. The SEA invited each of the 44 identified schools to participate in the effective schools process. To assist the schools and provide an incentive for participation, the state offered each school a small grant to cover expenses (approximately $7,000). Nine schools chose to participate. The school development unit allocated $60,000 of state Chapter 2 money for this purpose and titled the program "Chapter 2 Schoolwide Program Improvement." The process supplements what the state requires for Chapter 1 program improvement planning.

The nine schools are at various stages of school effectiveness planning and implementation. Georgetown schools, for example, were already immersed in the process before the extra grants were awarded. Others had completed the school effectiveness cycle in the past or were starting the process from scratch. Participating schools received their money in March 1990. Two state consultants--one from Compensatory Education and one from School Development--serve as facilitators for each school.

Three of the districts in our analysis had at least one school involved with Chapter 2 Schoolwide Program Improvement. Their activities are described below.

In Janeway, district administrators and the principal view Chapter 2 Schoolwide Program Improvement as an extension of the transition to a middle school. From the grant application:

> The focus for improvement is to change from a grade 7 and 8 content approach to learning to a grade 6, 7 and 8 integrated, middle school approach. Team teaching, multidisciplinary approaches to teaching and more heterogeneous grouping will be emphasized.

The entire middle school staff, including Chapter 1 teachers, participated in 3 days of planning workshops. The main topics included the middle school model generally, cooperative learning, heterogeneous grouping, and reading in the content areas. The middle school shift will affect the design of the Chapter 1 project, transforming it from a pull-out to an in-class design. Chapter 1, however, is not the main focus of the improvement effort, despite serving as the rationale for the district's involvement. The principal is supplementing local funds with the $7,000 Chapter 2 Schoolwide Program Improvement grant to cover the costs of the middle school transition.

State personnel view the process in Janeway in a positive light. The fact that Chapter 1 is not the central focus of the improvement process does not violate the broad purpose of the Chapter 2 Schoolwide Program Improvement effort. As a state administrator noted, "The point of all these grants, and of the effective schools process generally, is to bring resources and

training to initiatives and priorities that are of interest or already under way in participating schools." The purpose of the school effectiveness questionnaire, for example, is to prompt school staff to focus on their own perceived needs and ways of addressing them.

In Dixon, as we noted above, all schools are in the process of developing comprehensive school-based management plans. In the eight program improvement schools, review of the Chapter 1 program is taking place alongside the development of the school plans. In the three program improvement schools participating in the Chapter 2 Schoolwide Program Improvement process, staff are taking a deeper look at fundamental curriculum and program design issues. District administrators see the comprehensive plan development, Chapter 1 program improvement, and Chapter 2 Schoolwide Program Improvement as contributing insights to each other. For example, needs assessment for Chapter 1 may yield important information to framers of the comprehensive plan. It may also contribute relevant and systematically assembled information on compensatory education needs for schools doing school effectiveness training.

In Georgetown, the extra Chapter 2 money has been helpful, especially in the aftermath of the elementary school/middle school split. Here the district recently developed a new language arts curriculum for grades K-8 and plans to use it with all student populations. This shift will mean significantly more coordination between remedial and regular education programs. It will also require significant additional curricular materials. The elementary school is using its Chapter 2 Schoolwide Program Improvement grant to purchase these materials.

Connecticut Summary

Connecticut, then, provides an interesting and unique example of Chapter 2 support for Chapter 1 program improvement. Here the SEA, reflecting its considerable professional capacity, fashioned a way to coordinate the use of funds and staff from its own school effectiveness

program with the two federal programs: Chapter 1 and Chapter 2. This case exemplifies the creative ways through which state and federal efforts can be brought to bear on problems of concern at both levels of government.

In Connecticut, SEA staff recognized that their effective schools program was not reaching all of its intended audience. The voluntary nature of the program, as well as the cost to districts to become involved, meant that many poor schools with real problems never became involved--the exact schools that could benefit the most. The Chapter 1 program improvement label identified a special subset of these schools to the state. Program improvement, because it requires a plan and action on the part of schools and districts, also served as a catalyst to motivate the locals to look for outside assistance. Still, in some cases motivation was not sufficient because schools lacked resources. The state--aware of the effective schools focus of Chapter 2--was able to turn to this other federal program to provide those resources.

The Connecticut story really is one of a remarkable confluence of events, programs, and goals--made possible in large part by the actions and visions of a few individuals in positions of authority within the SEA. Connecticut could serve as an exemplar to other states seeking more coordinated programs.

Arkansas

Overview

Arkansas is a predominantly rural state with pockets of extreme poverty--especially in the eastern Mississippi Delta region. Yet, throughout the 1980s, Arkansas stood as a leader in the educational reform movement. Under the active guidance of Governor Bill Clinton, the state instituted one of the nation's earliest effective schools programs with the passage of Act 49 in 1983. This legislation, among other things, established explicit performance standards for Arkansas' public schools.

More recently, the state has embarked on a restructuring path. This initiative, titled "Restructuring for Higher-Order Learning"--an ongoing project of Governor Clinton and the state department of education--represents an expansion of the earlier effective schools program. In both cases, the state has sought to identify successful schools that are well suited to experimentation and whose innovations are replicable in other schools. The reasoning behind these approaches suggested that showcasing these schools would be the best way to bring other schools into the process of effective schools and, later, restructuring.

These various state initiatives have led to an evolution in the SEA's relationship with local districts, as the state has developed an increasingly hands-on relationship with locals. Given the complexity of the state performance standards and the state's accreditation process, schools and districts often need help. The state has willingly provided technical assistance, and locals have tended to view the state in a new way as a result. Since the passage of Act 49, expectations for help with staff development and training, for example, have been added to the traditional state role of monitoring and evaluation. This transition in roles was also a factor in setting the stage for the current restructuring initiative.

In Arkansas, we found no instances of direct Chapter 2 support for Chapter 1 program improvement. Instead, we found several cases where a Chapter 2-funded state-level effective schools program is taking place alongside Chapter 1 program improvement in the same schools. In these schools, the Chapter 1 staff have been included in the effective schools process as members of the larger school community. In some instances, the strategies for improving the Chapter 1 program and for making the total school more effective are similar and coordinated with one another. In no case, however, are Chapter 2 funds explicitly targeted on Chapter 1 program improvement as they are in both Pennsylvania and Connecticut.

The Local Story

We visited three school districts in Arkansas where effective schools and program improvement are both occurring. We contacted two other program improvement schools that are not involved in the state effective schools process. Table III-4 shows basic descriptive data on each. We then provide brief descriptions.

Table III-4

DESCRIPTION OF ARKANSAS LEA SAMPLE

	Number of Schools	Number of Chapter 1 Schools	Number of Program Improvement Schools	Chapter 1 Funds	Chapter 2 Funds
Percy	2	2	1	$185,000	$ 8,000
Walker	3	3	2	321,000	13,000
Lyon	16	15	7	1,600,000	66,000
Mesa	8	7	4	1,000,000	60,000
Scottsville	12	6	4	2,000,000	81,000

- Percy School District is a very small, rural district in the southeastern part of the state. The district serves just under 600 students from a wide geographical area. The superintendent lobbies for state-sponsored innovations, declaring: *"If it works here, it will work anywhere."* Approximately 80 percent of district students come from low-income families.

- Lyon School District serves a medium-sized city in the central part of the state that is economically dependent on farming. The community is the largest one in the mostly poor, agricultural Delta region of the state.

- The Walker School District serves a rural population of about 1,000 students in the southeastern part of the state. The student population is 95 percent black, a group that represents about 60 percent of the community. As a result of racial tensions 15 years ago, nearly all of the white students left the district and enrolled in nearby, mostly white school systems.

- Mesa School District is located in a medium-sized city in the northeastern part of the state. The community and its rural environs are economically depressed. Half of the schools in the district were identified for Chapter 1 program improvement.

- Scottsville is a fairly large city in the eastern part of the state. Unlike other districts in our sample, only half of the Scottsville public schools receive funds for Chapter 1 projects. Four of the six Chapter 1 schools are implementing program improvement plans.

Chapter 1 in Arkansas

The Chapter 1 program takes a variety of forms in Arkansas. The program supports summer sessions, after-school tutorials, and preschool programs. Across the state, Chapter 1 efforts focus on reading, mathematics, and language arts. By and large, however, Chapter 1 consists of supplementary services in reading during the regular school day. Because of the small size of many of the schools in Arkansas, many local projects are small and provide, in some cases, only aides who work under the supervision of regular classroom teachers.

Because so many local projects employ instructional aides, regular classroom teachers have a large role in designing the prescription for remedial assistance received by Chapter 1 students. According to one district administrator, the quality of Chapter 1 services in these cases

depends on how diligently the aides are supervised by teachers. This is especially true when aides are working with students outside the classroom. An ongoing concern for many of the people we spoke with at the state level and in the districts is the relatively limited training required for paraprofessionals.

Partly in response to these concerns, state administrative staff are interested in increased adoption of the in-class instructional model and schoolwide projects. Interest in the in-class delivery system is particularly keen in local situations where Chapter 1 is conducted by aides instead of certified teachers. The enthusiasm for schoolwide projects can be traced to the relaxed schoolwide project provisions in P.L. 100-297. There were 10 schoolwide projects in Arkansas in 1989-90; for 1990-91, there are 20.

Schoolwide projects appear especially appropriate for the numerous high-poverty schools in the southeastern part of the state. This model is popular at the local level because it sharply reduces or eliminates pull-outs. The state is encouraging the use of schoolwide projects because they are seen to mesh with broader reform themes the state is also emphasizing (e.g., mainstreaming special populations, school-based management).

Chapter 1 at the Local Level

For school districts in Arkansas, the requirements in the new law and increased attention to instructional models have resulted in close examination of all facets of Chapter 1 projects. For example, in Lyon, student eligibility and selection practices have been reviewed to make them more systematic across the district. Concern about noninstructional Chapter 1 referrals and serving the "right" students in Chapter 1 are the underlying factors here.

Schoolwide projects have been adopted in a number of the local districts we visited. In Percy, the superintendent is excited about the schoolwide concept because he sees it as tailor-made for the district's two schools.

Approximately 80 percent of district students come from low-income families, a key requirement for schoolwide projects, and district staff have conducted a comprehensive needs assessment, also a requirement, to justify and help design the schoolwide delivery system. The superintendent and members of the schoolwide project committee have attended state workshops and have visited other schoolwide projects as part of the planning effort. The elementary school will implement a schoolwide project during the 1990-91 school year.

In Mesa, the success of one schoolwide site has persuaded the district to make the switch in each of the elementary and junior high schools. The first school was not identified for program improvement, but the Chapter 1 coordinator is convinced that schoolwide projects constitute the most promising program improvement strategy for the district.

Other examples of Chapter 1 services that we encountered in the district case studies include:

- In grades K-3 of the Lyon school district, Chapter 1 paraprofessionals work with teachers in the classroom. Pull-outs begin in grade 2, where basic skills reinforcement occurs, mostly through computer-assisted instruction.
- In Walker, reading is the instructional focus for grades 1-6. Chapter 1 students are pulled out of their classrooms and receive services in a computerized reading laboratory. Mathematics and language arts are offered in grades 7 through 12. Chapter 1 also places heavy emphasis on early childhood and kindergarten interventions; these efforts are coordinated out of the elementary school.

A similar mix of basic skills foci and computer-assisted instruction was encountered in Scottsville and Mesa.

Chapter 1 Program Improvement

State Chapter 1 administrators welcome the program improvement requirements in the new law. They view the regulations as giving the state more leverage to help improve Chapter 1 projects. This account parallels the new state role that developed in the wake of Act 49--providing the state with opportunities to assist districts more actively.

The Arkansas committee of practitioners closely followed the law in developing the state program improvement plan. The plan lays out three standards; failure to meet any of the following triggers program improvement:

- At least one NCE aggregated gain in basic skills for students in the instructional area of primary focus.
- At least one NCE aggregated gain in advanced skills for students in the instructional area of primary focus.
- At least 75 percent of program objectives in the instructional area of primary focus if the stated objective is greater than one NCE.

The third standard simultaneously encourages schools to develop high performance standards and reminds them that they will be held accountable for meeting whatever standards they set.

A total of 110 schools were identified for program improvement on the basis of their 1988-89 aggregate performance data. Schools developed and implemented plans during the 1989-90 school year. The state has not been extensively involved in local plans this year. For example, none of the state-administered program improvement allotment has been used yet. According to state administrators, LEAs are free to apply for grants from this pool--although the information that these funds existed was not aggressively disseminated. The state Chapter 1 program improvement plan refers to the funds but does not mention the amount of money available, nor does it describe how an LEA can apply for the funds.

The state Chapter 1 office anticipates a greater involvement with local planning next year, especially with the subset of the 110 schools that are identified for program improvement a second time. SEA staff plan to gear their technical assistance strategies to the nature of the progress made during the first year and to any lingering problems. The state will combine the unused $90,000 for 1989-90 with $141,000 for 1990-91, for a total program improvement account of $231,000. Chapter 1 supervisors will evaluate local requests for funds and recommend funding levels with an eye on the needs of other districts.

Overall, then, program improvement identification and planning has been in local hands this year. The local reaction to program improvement appears to depend on how willing district- and building-level personnel are to scrutinize the Chapter 1 project. Typically, program improvement identification is not resisted but is balanced against a belief that extenuating circumstances explain why the schools were flagged. For example, the Chapter 1 coordinator in one district attributed a school's negative NCE scores to diluted Chapter 1 resources resulting from the large number of students served by the project.

Another prevalent reaction--at both the state and local levels--is that Chapter 1 evaluation is too technical, especially for accountability purposes. State personnel cited a belief that small schools get hit hard and arbitrarily on program improvement because a large negative score by one student can affect the average of the whole class.

Locally, various events are occurring as a result of--and alongside--Chapter 1 program improvement. As we noted above, the elementary schools in Percy are implementing schoolwide projects, which is their central program improvement strategy.

Other districts are pursuing multiple objectives. The Lyon School District, for example, wrote a uniform program improvement plan for all three of its identified sites. Each school shares the same goal, handed down from the school district:

> The professional staff in each school understands the limitations of the past and is busy developing new skills and understanding in school-based planning that will meet the needs of students in Chapter 1 projects.

In addition to school-based planning, the district federal programs coordinator wants to take advantage of the program improvement process to advance two other priorities: principal as instructional leader, and restructuring. He envisions a new role for the district that will get beyond "monitoring after the fact" and into a more active technical assistance and problem-solving role.

Lyon School District is also addressing a more practical problem under the aegis of program improvement. The district has some staff performance and leadership concerns that it has been trying to substantiate through disaggregating student data by classroom and by aide. If staff inefficiency is a big problem, the district wants to know about it and direct appropriate training resources to teachers and paraprofessionals who are having difficulties.

Despite the debates about program improvement and changes in assessment techniques (e.g., assessing Chapter 1 student progress in the regular program), the new requirements of P.L. 100-297 do not seem to have forced major rethinking of Chapter 1 in Arkansas. The technical assistance role that the state will eventually assume with program improvement schools is already reflected in the service-plus-monitoring posture in place for the state as a whole. Similarly, other new assessment requirements--desired outcomes, for example--are already part of Chapter 1 evaluation reporting. Local projects establish and monitor objectives (in addition to NCE growth) as part of the evaluation process.

Chapter 2 in Arkansas

Chapter 2 is highly regarded at the Arkansas Department of Education as one of the best sources of flexible funds for meeting locally determined needs. The most popular local spending priorities are library books, instructional materials, and computer equipment. No districts use local Chapter 2 funds for effective schools programs. Grants to locals who are participating in state effective schools activities come from state sources. We describe this program in detail in the following section.

The following are examples of local Chapter 2 activities and issues from our case studies in Arkansas:

- The bulk of Percy's $8,050 Chapter 2 grant goes toward an after-school peer tutoring program for grades 3-12. The costs of late transportation and teacher supervision of library and cafeteria facilities where peer tutoring occurs are covered by Chapter 2. Chapter 2 also invests in science equipment, although on a much smaller scale than what is devoted to the peer tutoring program.

- In the Lyon School District, virtually all of the Chapter 2 money goes for instructional supplies and library books.

- Chapter 2 provides a $13,000 annual grant for the Walker School District. From this pool, each of the three campuses receives $2,000 for library supplies. The district oversees the remainder, which goes toward helping pay the salary of a district test coordinator and a computerized basic skills assessment package. The mixed funding of the test coordinator enables this person to oversee the evaluation of Chapter 1 students.

Chapter 2 Effective Schools

Arkansas has undertaken an effective schools effort with 20 percent of its Chapter 2 state set-aside ($184,197). The state has used Chapter 2 dollars to resurrect the effective schools process that had originated in the early 1980s with Act 49. According to state staff, the original effective schools program was terminated after a short period because of financial restrictions. The state remained committed to the process, however, and when Chapter 2 funds became available with a requirement for expenditures on effective schools, the state decided to reinstate its program.

The initial effective schools effort in the early 1980s targeted five schools that already appeared to be effective by dint of their own efforts or circumstances. With state assistance, it was thought that these schools could become laboratories for demonstrating effective strategies to a second group of demographically similar schools. The state role would be to provide technical assistance on planning and implementing effective schools practices.

In addition to being reactivated, the original process is now being directed at a new audience of schools. The state wants to reach out to schools that are struggling, not to those schools that already appear to be successful. Schools for the present round of Chapter 2-sponsored effective schools training were nominated partly on the basis of their willingness to participate but also because they are serving a high proportion of economically disadvantaged youth. The research-based effective schools focus for the process has remained, but the type of school participating has changed.

The specific process schools go through as part of the effective schools programs is as follows:

- Initial workshop.
- Follow-up meetings with principals.
- Principals complete survey instrument.
- Initial implementation of effective schools strategy:
  - Organization of effective schools team.
  - Orientation of total school faculty.
  - Faculty complete self-assessment (including analysis and retreat).
- Planning and implementing school improvements based on self-assessment activities.
- Evaluation and modification of effective schools plan.

The six schools in the process have completed their first year. The present cycle began in June 1989 with a 4-day workshop conducted by the state for all participating schools. As the state introduced the effective schools research and processes, they wanted the schools to ask themselves: *"What do effective schools look like and how do we get there?"* A research question that the state will try to answer is: *"How much of the effective schools research has been incorporated into the daily operations of the schools involved in the process?"* In keeping with the research orientation of the original process, the state also tries to disseminate research on effective schools concepts that are appropriate for use in Arkansas settings.

There is a close parallel between the messages conveyed by the state in presentations on effective schools and the themes that are prominent in the restructuring movement. In both efforts, the state hopes that creative ideas will be formulated and implemented by school-level participants. The state wants to foster innovation at the local level and wants schools to accept responsibility for the success or failure of their improvement efforts. At the same time, the state also wants to create an environment where risk taking, experimentation, and school-based management are encouraged.

The local story of effective schools draws mainly from the state workshops in which each school participated. The experience of the elementary school in Percy is representative. The process began in the summer of 1989, when the entire staff from the elementary school attended the state-sponsored session along with the staffs from the other five participating schools. There was an individual school follow-up session during the fall. More workshops were scheduled for Summer 1990. The school was selected in part because it fit the profile of being "impacted" by large numbers of economically disadvantaged students. District and school personnel were also enthusiastic about being included as a pilot school.

The participating elementary school in Lyon has had fluctuating test scores and a staff that, according one district administrator, "needs a lot of help." So far, the process has focused on staff development and building-level accountability. District personnel are skeptical as to whether the impact of the effective schools process is evident in the classroom yet. A conservative assessment, typical of the overall district tone, hypothesizes that "test scores may go up in 2 or 3 years."

In Walker, the principal of the participating elementary school praised the quality of the input and assistance received from the state sessions, but criticized the lack of incentives for participation of the whole school staff. As promulgated by the state, the process mandates involvement by the entire building faculty. The state recognizes the barriers to this requirement and works to foster support by district administrators. Still, according to the Walker principal, the mandate should be stronger and reinforced by additional resources.

A major strength of the effective schools process from the perspective of district staff is the simple act of bringing everyone together to talk about their school. In Lyon, this has partially offset district frustration with the amount of monitoring and ongoing planning they have had to conduct on the school's behalf.

Chapter 2 Coexistence with Chapter 1 Program Improvement

A total of three Arkansas schools (in three districts) that are participating in the Chapter 2-supported effective schools process also have been targeted for Chapter 1 program improvement. These schools, then, are seeking simultaneous improvements to the entire school program and to Chapter 1. At the state level, the two programs share a common target: disadvantaged students and the schools that serve them. Yet the programs are administered separately and the state has not designed any explicit strategies to ensure that the schools involved in program improvement and the Chapter 2-supported effective schools programs integrate the two improvement efforts.

The extent to which the two programs are coordinated thus varies according to local factors. In Walker, the two efforts simply coexist. Chapter 1 staff are aware of the whole-building effective schools efforts and have even taken part in that program's training. But the Chapter 1 program improvement effort is not integrated into the broader improvement process, and there is no strategy to bring the two together.

In other cases, administrators recognize the common purposes of the two programs. In Lyon, for example, there is a significant overlap between the Chapter 2 effective schools and Chapter 1 program improvement plans. In this district, the reading coordinator has played the central role in integrating the two efforts. She has incorporated her views about student learning styles into district training for school staff. She has developed a districtwide Chapter 1 program improvement plan that includes training in conjunction with the Chapter 2 effective schools process. In these schools,

the district coordinator's focus on student learning styles shows up in both the Chapter 2-supported effective schools efforts and the Chapter 1 program improvement strategy.

In the Percy schools, there is even more overlap between the two programs. Here, along with numerous other Arkansas districts, schoolwide projects have been identified as the most promising Chapter 1 program improvement strategy. The goal of both program improvement and the Chapter 2-supported effective schools effort, then, is to improve the school as a whole. For its part, the state department of education has explicitly linked Chapter 1 schoolwide projects to the planning process employed by Chapter 2 effective schools.

In these schools, where schoolwide projects have been implemented as a program improvement strategy, efforts directed at Chapter 1 have become synonymous with efforts to improve the school as a whole. Evidence of coordination between the Chapter 2 effective schools process and Chapter 1 program improvement, therefore, is strongest when schoolwide projects--following the state-developed effective schools model--are implemented in program improvement schools.

Arkansas Summary

Arkansas provides a third interesting case of the relationship between the Chapter 2 and Chapter 1 programs. Unlike Pennsylvania and Connecticut, the SEA did not initiate an explicit policy to encourage Chapter 2 support for Chapter 1 program improvement. Rather, we found several cases where a Chapter 2-funded state effective schools program was being implemented alongside Chapter 1 program improvement in a small set of schools in the state. Thus, resources from two federal programs were funneled into the same building and directed at the same general goal. As we described in the previous section, the degree to which these programs were coordinated varied considerably across the state.

Whether the state Chapter 2 effective schools and Chapter 1 program improvement efforts will become more integrated in the future is uncertain. Still, the state has explicitly targeted its overall efforts on high-poverty and low-achieving schools. The Chapter 2 effective schools process is directed at these schools. The state's considerable effort to promote Chapter 1 schoolwide projects is particularly germane in these cases as well. The state has also advocated the use of the effective schools model for planning schoolwide project blueprints. In Arkansas, it is this set of schools that is most likely to be targeted for program improvement. We have already witnessed an instance in which these three programs--effective schools, program improvement, and schoolwide projects--have occured in a single school in the Percy School District. The increased coordination of these programs is seen by the state as part of its effort to improve economically impoverished schools in which students are not performing well.

Appendix A

METHOD

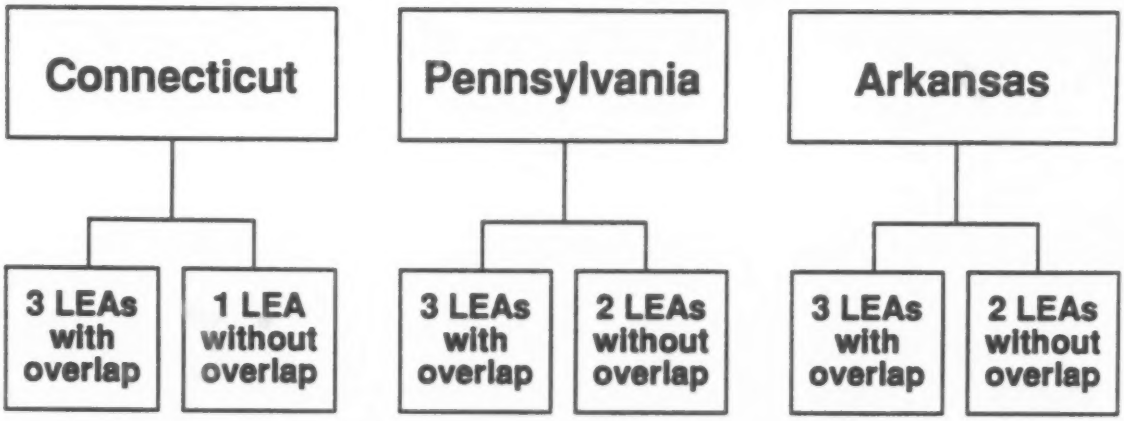
APPENDIX A: METHOD

In this appendix, we describe the study sample and data collection procedures.

Study Sample

Given initial indications that there would be relatively few cases of overlap between the Chapter 1 and Chapter 2 programs, we focused data collection efforts on those states in which we knew that such coordination was taking place on some scale. Through the Chapter 2 State Coordinators annual meeting, the Coordinators' Steering Committee, the U.S. Department of Education staff, and Chapter 1 Technical Assistance Centers' staff, we identified three states where some degree of integration between the two federal programs was occuring: Connecticut, Pennsylvania, and Arkansas. We called each state to determine the nature of the overlap, and to request that we include them in our case studies. Each agreed to participate.

Within these states, we selected 14 local districts. In both Pennsylvania and Arkansas, we sampled five LEAs. In Connecticut, we analyzed data from four districts (see Figure A-1). In all cases, districts have schools identified for Chapter 1 program improvement. Of the districts sampled in each state, three are using Chapter 2 monies to support Chapter 1 improvement efforts. The remaining districts in each state are not using Chapter 2 funds for this purpose. A secondary criterion for district sample selection was metropolitan status: we included both urban and rural districts.



Total number of states = 3
Total number of LEAs = 14
Number of LEAs with overlap = 9
Number of LEAs without overlap = 5

FIGURE A-1 SAMPLING PLAN

Data Collection Method

We carried out case studies of each of the three states and their local districts. We chose a case study approach because the two federal programs are in a period of transition. Given the unfolding of new program routines and the balancing of different political constituencies in both federal efforts, we needed detailed information to understand the forces that facilitated coordinated use of federal dollars. Case studies provide the rich and systematic descriptive data needed about each sample state and district. Moreover, we wanted to ensure that the study's data are sufficiently specific to be useful to educators in other states and districts.

Data Collection Topics

Each case study was designed to collect data on the broader educational context in which federal programs are administered and implemented, on the Chapter 1 and Chapter 2 programs themselves, and on the overlap between them. More specifically, we sought information on:

Topics related to state and local context

- Current state and district priorities and programs for serving at-risk children.
- Programs and policies at the state and district levels for effective schools.
- Political climate in the states and districts regarding education.

Topics related to the Chapter 1 program

- The nature of the Chapter 1 program (state administrative structure, local service delivery models).
- Chapter 1 program improvement efforts (identification and planning issues).
- State technical assistance to schools identified for program improvement.
- Resources used for Chapter 1 program improvement.

Topics related to the Chapter 2 program

- The nature of the Chapter 2 program.
- Chapter 2-funded effective schools programs, schoolwide improvement, and activities for at-risk children.
- The relationship between Chapter 2-supported activities targeted on the effective schools program, schoolwide improvement, and at-risk students.
- Funding for effective schools and related activities for schoolwide improvements and at-risk students.
- The relationship between Chapter 2 effective schools efforts and other state school improvement/reform initiatives.

Topics related to the link between Chapter 1 and Chapter 2

- Decisionmaking process by which staff decided to use Chapter 2 funds to support Chapter 1 program improvement (process, participants, reasons for decisions).
- Chapter 2 funding for Chapter 1 program improvement.
- Activities, staff, materials, and equipment for Chapter 1 improvement efforts supported with Chapter 2 dollars.
- Opportunity costs of using Chapter 2 funds for Chapter 1.
- Other barriers to use of Chapter 2 to fund Chapter 1 program improvement.
- Administrative responsibility for Chapter 2 support of Chapter 1.
- Coordination of Chapter 2-funded activities, staff, materials, and equipment with activities, staff, materials, and equipment purchased with Chapter 1 or other funds.
- The effects of Chapter 2 support for Chapter 1 (both on the Chapter 1 program and on those traditional Chapter 2 activities not now being supported).
- Evidence that Chapter 2 funds will continue to support Chapter 1.

The interview topics and the material collected reflect an interest in all four of these areas.

Interviews

The primary method of data collection in the case studies was open-ended, semi-structured interviews with relevant state and local staff. This format allows for lengthy and informative exchanges with knowledgeable respondents, while providing sufficient flexibility for the interviewer to tailor questions to the circumstances. At the state level, we conducted all interviews on-site. We also visited nine districts (three in each state) in which Chapter 2 funds are supporting Chapter 1 program improvement. In the five contrasting districts, which have program improvement schools but are not using Chapter 2 to support those efforts, we conducted interviews by telephone.

The exact interviewees varied from site to site. Typically, we interviewed:

At the state level:

- State director of special programs or federal programs.
- State coordinator of the Chapter 1 program.
- State coordinator of the Chapter 2 program.
- Consultants in both the Chapter 1 and Chapter 2 offices who monitor or provide technical assistance to LEAs.
- State evaluation personnel.
- Other relevant state personnel (e.g., the director of a state effective schools program).
- Representatives of Chapter 2 state advisory committee and Chapter 1 committee of practitioners.

At the local level:

- District assistant superintendent of special programs or federal programs.
- District coordinator of the Chapter 1 program.
- District coordinator of the Chapter 2 program.
- Local evaluation personnel.

- Other relevant district staff (e.g., assistant superintendent for curriculum in charge of an effective schools program).
- Site principals in sample schools.

In addition, we contacted individuals at the Chapter 1 technical assistance centers and the regional laboratories who have knowledge of programs in the sample states and districts. In some cases, especially at the local level, when face-to-face interviews were not possible during our visits, we scheduled phone interviews.

Record Review

We supplemented data from interviews with a review of relevant records from project files. The documents we gathered include:

- State policy manuals and other guidelines.
- State Chapter 1 plan for program improvement.
- Information on the number and nature of schools identified for Chapter 1 program improvement.
- State Chapter 1 applications.
- State Chapter 1 evaluation reports.
- State Chapter 2 applications.
- State Chapter 2 evaluations and annual reports.
- Local policies and guidelines.
- Local Chapter 1 applications.
- Local Chapter 1 evaluation reports and building-level program improvement plans.
- Local Chapter 2 applications.
- Additional documents that provide detail on the use of Chapter 2 funds to support Chapter 1 program improvement.
- Local demographic information and district vital statistics.

REFERENCES

Advisory Commission of Intergovernmental Relations (1989), Significant Features of Fiscal Federalism, Vol. II, Washington, DC.

National Center for Education Statistics (1989), Digest of Educational Statistics, Washington, DC: US Department of Education, Office of Educational Research and Improvement.

Connecticut Department of Education (1984), An Evaluation of School Effectiveness Programs in Connecticut--Technical Report, State of Connecticut: Department of Education.